

**To:** Wong, Ellen Y[WongEY@state.gov]; Nakagawa, Melanie Y[NakagawaMY@state.gov]; Ohtagaki, Johna O[OhtagakiJO@state.gov]; Schuler, Reed M[SchulerRM@state.gov]; Dolan, Bridget M[DolanBM@state.gov]; Allen, Tanya A[AllenTA@state.gov]; Dolan, Bridget M[DolanBM@state.gov]; D EAP Duty Officer[DDutyOfficer@state.gov]; Dinkel, Alessia A[DinkelAA@state.gov]; Marchant, Christian M[MarchantCM@state.gov]; **Ex. 6 - Privacy, Paul Bodnar** Troche, Luis[Troche.Luis@epa.gov]; LeFranc, Maurice[LeFranc.Maurice@epa.gov]; Maria DiGiulian (Maria.DiGiulian@Hq.Doe.Gov)[Maria.DiGiulian@Hq.Doe.Gov]; Tsering Dhongthog (Tsering.Dhongthog@Hq.Doe.Gov)[Tsering.Dhongthog@Hq.Doe.Gov]; Ke Ji (ke.ji@trade.gov)[ke.ji@trade.gov]; Amy Kreps[Amy.Kreps@trade.gov]; YamKi.Chan@treasury.gov[YamKi.Chan@treasury.gov]; Abigail.Demopulos@treasury.gov[Abigail.Demopulos@treasury.gov]; Fike, Verinda[vfike@ustda.gov]  
**From:** Sierawski, Clare S  
**Sent:** Tue 6/10/2014 5:56:18 PM  
**Subject:** For your clearance (S&ED paper on climate change)  
6.10.14 BP SED Climate Change.docx

Hi All,

Adding here to the slew of S&ED background papers - could you please comment/clear on the attached BP on climate change **by 2pm tomorrow?**

Thank you!

Clare

Clare Sierawski

Senior Climate Change Adviser

U.S. Department of State

202-647-9816

**To:** LeFranc, Maurice[LeFranc.Maurice@epa.gov]  
**From:** Ohrel, Sara  
**Sent:** Sat 1/11/2014 3:48:15 PM  
**Subject:** Re: Forest Carbon Technical Measurment Group Call

Hi - just back online. Will send once I boot my computer.

---

**From:** LeFranc, Maurice  
**Sent:** Friday, January 10, 2014 7:15:13 PM  
**To:** Fawcett, Allen; Ohrel, Sara; Jenkins, Jennifer; Irving, Bill  
**Subject:** Fw: Forest Carbon Technical Measurment Group Call

Can you get these papers (or our version of these papers) to Candace tonight? Or this weekend? I will see what I can access on my Blackberry.

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**From:** Vahlsing, Candace <Ex. 6 - Privacy>  
**Sent:** Friday, January 10, 2014 7:12:15 PM  
**To:** Patel-Weynand, Toral -FS; LeFranc, Maurice  
**Subject:** RE: Forest Carbon Technical Measurment Group Call

Can you send me the projections and inventory papers tonight please?

**From:** Patel-Weynand, Toral -FS [mailto:tpatelweynand@fs.fed.us]  
**Sent:** Friday, January 10, 2014 2:53 PM  
**To:** Irving, Bill; LeFranc, Maurice; Langner, Linda -FS; Vahlsing, Candace; Gunning, Paul; Jenkins, Jennifer; Fawcett, Allen; Ohrel, Sara; Woodall, Christopher W -FS; Reams, Greg -FS; Wear, Dave -FS; Skog, Kenneth E -FS; Reed, Bradley  
**Subject:** RE: Forest Carbon Technical Measurment Group Call

Bill:

Thanks. Based on our discussions to date, we need two sets of information. We will need to

**Ex. 5 - Deliberative**

included. This would come from the paper Chris and Jen pulled together.

**Ex. 5 - Deliberative**

I am in Training all week Mon-Friday until 1pm. But you can reach me during lunch 11:30-12pm on Monday.

Toral

Toral Patel-Weynand, Ph.D.

Acting Director, Ecosystem Management Coordination

USDA Forest Service, National Forest System

**Office & Express Mail Deliveries:**

USDA Forest Service, NFS

201 14<sup>th</sup> Street, SW Mailstop 1115

Washington, DC 20024

**Contact Information:**

703-605-4188 (O)

703-659-5261 (C)

703-605-5131 (Fax)

E-mail: [tpatelweynand@fs.fed.us](mailto:tpatelweynand@fs.fed.us)

**From:** Irving, Bill [<mailto:Irving.Bill@epa.gov>]

**Sent:** Friday, January 10, 2014 2:01 PM

**To:** Patel-Weynand, Toral -FS; LeFranc, Maurice; Langner, Linda -FS; Vahlsing, Candace; Gunning, Paul; Jenkins, Jennifer; Fawcett, Allen; Ohrel, Sara; Woodall, Christopher W -FS; Reams, Greg -FS; Wear, Dave -FS; Skog, Kenneth E -FS; Reed, Bradley

**Subject:** RE: Forest Carbon Technical Measurement Group Call

Toral – Maurice is out until Monday. Perhaps we can have a quick chat Monday afternoon.

Jen and I are making modifications to the inventory paper to reflect

**Ex. 5 - Deliberative**

# Ex. 5 - Deliberative

Bill

**From:** Patel-Weynand, Toral -FS [<mailto:tpatelweynand@fs.fed.us>]

**Sent:** Wednesday, January 08, 2014 2:38 PM

**To:** LeFranc, Maurice; Langner, Linda -FS; Vahlsing, Candace; Gunning, Paul; Irving, Bill; Jenkins, Jennifer; Fawcett, Allen; Ohrel, Sara; Woodall, Christopher W -FS; Reams, Greg -FS; Wear, Dave -FS; Skog, Kenneth E -FS; Reed, Bradley

**Subject:** RE: Forest Carbon Technical Measurement Group Call

Maurice/Bill:

Happy New Year! Maurice, are you available for a quick meeting tomorrow? Just need to get an update on where we are on the inventories and measurements paper that EPA was preparing based on the presentation and paper that Jennifer and Chris Woodall had prepared for the last meeting.

Also, Linda and the projections team had sent in a paper to Sarah and I believe we have a response from Sarah that is being considered by the projections team collectively? Is this



correct, projections team?

Maurice, I can be reached at [Ex. 6 - Privacy] (H) after 4:30 pm today – packing up the office for the move back to Yates Building.

Thanks.

Toral

Toral Patel-Weynand, Ph.D.

Acting Director, Ecosystem Management Coordination

USDA Forest Service, National Forest System

**Office & Express Mail Deliveries:**

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201 14<sup>th</sup> Street, SW Mailstop 1115

Washington, DC 20024

**Contact Information:**

703-605-4188 (O)

703-659-5261 (C)

703-605-5131 (Fax)

E-mail: [tpatelweynand@fs.fed.us](mailto:tpatelweynand@fs.fed.us)

**From:** LeFranc, Maurice [<mailto:LeFranc.Maurice@epa.gov>]

**Sent:** Tuesday, December 03, 2013 3:37 PM

**To:** Langner, Linda -FS; Vahlsing, Candace; Patel-Weynand, Toral -FS; Gunning, Paul; Irving, Bill; Jenkins, Jennifer; Fawcett, Allen; Ohrel, Sara; Woodall, Christopher W -FS; Reams, Greg -FS; Wear, Dave -FS; Skog, Kenneth E -FS; Reed, Bradley

**Subject:** RE: Forest Carbon Technical Measurement Group Call

Thanks Linda.

**From:** Langner, Linda -FS [<mailto:llangner@fs.fed.us>]

**Sent:** Tuesday, December 03, 2013 3:25 PM

**To:** LeFranc, Maurice; Vahlsing, Candace; Patel-Weynand, Toral -FS; Gunning, Paul; Irving, Bill; Jenkins, Jennifer; Fawcett, Allen; Ohrel, Sara; Woodall, Christopher W -FS; Reams, Greg -FS; Wear, Dave -FS; Skog, Kenneth E -FS; Reed, Bradley

**Subject:** RE: Forest Carbon Technical Measurement Group Call

Here's the options paper on projections that FS prepared.

Linda

Linda Langner

US Forest Service

Research and Development

RPA Assessment National Program Leader

1601 North Kent Street - 4th Floor RPC

Arlington, VA 22209

ph: 703-605-4886

fax: 703-605-5131

e-mail: [llangner@fs.fed.us](mailto:llangner@fs.fed.us)

**From:** LeFranc, Maurice [<mailto:LeFranc.Maurice@epa.gov>]

**Sent:** Tuesday, December 03, 2013 3:11 PM

**To:** Vahlsing, Candace; Patel-Weynand, Toral -FS; Gunning, Paul; Irving, Bill; Jenkins, Jennifer; Fawcett, Allen; Ohrel, Sara; Woodall, Christopher W -FS; Reams, Greg -FS; Langner, Linda -FS; Wear, Dave -FS; Skog, Kenneth E -FS; Reed, Bradley

**Subject:** RE: Forest Carbon Technical Measurment Group Call

Good afternoon. Is there any chance that each team could circulate to everyone whatever papers/updates are available prior to tomorrow's phone call? It would be helpful to have something to review beforehand if at all possible. Thank you.

-----Original Appointment-----

**From:** Vahlsing, Candace [<mailto:>] **Ex. 6 - Privacy**

**Sent:** Monday, December 02, 2013 9:58 PM

**To:** Vahlsing, Candace; LeFranc, Maurice; Toral -FS Patel-Weynand ([tpatelweynand@fs.fed.us](mailto:tpatelweynand@fs.fed.us)); Gunning, Paul; Irving, Bill; Jenkins, Jennifer; Fawcett, Allen; Ohrel, Sara; 'cwoodall@fs.fed.us'; 'greams@fs.fed.us'; 'Langner, Linda -FS'; 'Wear, Dave -FS'; 'kskog@fs.fed.us'

**Subject:** Forest Carbon Technical Measurment Group Call

**When:** Wednesday, December 04, 2013 9:30 AM-10:30 AM (GMT-05:00) Eastern Time (US & Canada).

**Where:** Call-in: **Ex. 6 - Privacy** Passcode **Ex. 6 - Privacy**

To follow-up last month's discussion. Maurice and Toral will provide additional details.

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**To:** LeFranc, Maurice[LeFranc.Maurice@epa.gov]  
**From:** Ulman, Christie  
**Sent:** Fri 1/10/2014 8:58:07 PM  
**Subject:** RE: Sheduling the next Post 2020 meeting

Thanks. I'll send it out early Monday.

-----Original Message-----

**From:** LeFranc, Maurice [LeFranc.Maurice@epa.gov]  
**Sent:** Friday, January 10, 2014 03:23 PM Eastern Standard Time  
**To:** Ulman, Christie  
**Subject:** Re: Sheduling the next Post 2020 meeting

Christie:

I would like Janet to be able to come so it seems January 30 either 2:00 or 4:00 are the times that would work. Best to get on schedule soon!!

Maurice

---

**From:** Ulman, Christie Ex. 6 - Privacy  
**Sent:** Friday, January 10, 2014 12:07:56 PM  
**To:** LeFranc, Maurice  
**Subject:** RE: Sheduling the next Post 2020 meeting

Thanks!

**From:** LeFranc, Maurice [mailto:LeFranc.Maurice@epa.gov]  
**Sent:** Friday, January 10, 2014 12:07 PM  
**To:** Ulman, Christie  
**Subject:** Re: Sheduling the next Post 2020 meeting

Checking now. Will get back to you shortly.

---

**From:** Ulman, Christie Ex. 6 - Privacy  
**Sent:** Friday, January 10, 2014 11:54:05 AM  
**To:** LeFranc, Maurice  
**Subject:** RE: Sheduling the next Post 2020 meeting

Hey Maurice,

I'm aiming to get this out today if you don't mind checking on schedules for me – thanks!

**From:** Ulman, Christie  
**Sent:** Wednesday, January 08, 2014 10:19 AM  
**To:** LeFranc, Maurice ([LeFranc.Maurice@epa.gov](mailto:LeFranc.Maurice@epa.gov))  
**Subject:** Sheduling the next Post 2020 meeting

Good seeing you yesterday. Can you let me know which of the following dates/times work for EPA?

Jan. 29 & 30

2:00-4:00p

Jan 31

1:00-3:00p

Thanks!

Christie Ulman

Deputy Associate Director  
Energy and Climate Change  
White House Council on Environmental Quality

**To:** Ohrel, Sara[Ohrel.Sara@epa.gov]; Fawcett, Allen[Fawcett.Allen@epa.gov]  
**From:** LeFranc, Maurice  
**Sent:** Thur 10/16/2014 6:58:21 PM  
**Subject:** FW: EPA: For feedback by 5/21: Interagency paper on land use accounting approaches  
Accounting for the Land Sector EPA combined comments.docx

Here is the State paper we were discussing yesterday. Not sure if this has been revised at all since May.

**From:** Dragisic, Christine D [mailto:DragisicCD@state.gov]  
**Sent:** Tuesday, May 27, 2014 4:03 PM  
**To:** LeFranc, Maurice; 'whohenst@oce.usda.gov'; Irving, Bill; 'syoffe@fs.fed.us'; 'Torai.Patel-Weynand@usda.gov'; 'Mark.Manis@fas.usda.gov'; Notman, Evan (E3/GCC/AID); 'Katie.Berg@treasury.gov'  
**Cc:** Strait, Elan P; Verdieck, John D; Meisel, Julia S; **Ex. 6 - Privacy, Candace Vahlsing**  
**Subject:** Re: EPA: For feedback by 5/21: Interagency paper on land use accounting approaches

Hi everyone - please find a slightly updated set of EPA comments for everyone's reference.  
Many thanks to all!

Chris

**From:** LeFranc, Maurice [mailto:LeFranc.Maurice@epa.gov]  
**Sent:** Tuesday, May 27, 2014 03:36 PM Eastern Standard Time  
**To:** Dragisic, Christine D; Hohenstein, William - OCE <WHOHENST@oce.usda.gov>; Irving, Bill <Irving.Bill@epa.gov>; Yoffe, Shira -FS <syoffe@fs.fed.us>; 'Torai.Patel-Weynand@usda.gov' <Torai.Patel-Weynand@usda.gov>; Manis, Mark - FAS <Mark.Manis@fas.usda.gov>; Notman, Evan (E3/GCC/AID); 'Katie.Berg@treasury.gov' <Katie.Berg@treasury.gov>  
**Cc:** Strait, Elan P; Verdieck, John D; Meisel, Julia S; **Ex. 6 - Privacy, Candace Vahlsing**  
**Ex. 6 - Privacy, Candace Vahlsing**  
**Subject:** RE: EPA: For feedback by 5/21: Interagency paper on land use accounting approaches

Chris:

Here are comments I compiled today – have not heard from anyone else at EPA but everyone is pretty booked right now. It seems we need another interagency discussion to decide where to go with this but my impression is this is background for Trigg and not a paper by which the USG would take a decision.

Thanks for sharing.

Maurice

**From:** Dragisic, Christine D [<mailto:DragisicCD@state.gov>]  
**Sent:** Tuesday, May 27, 2014 1:57 PM  
**To:** Hohenstein, William - OCE; Irving, Bill; Yoffe, Shira -FS; LeFranc, Maurice; 'Toral.Patel-Weynand@usda.gov'; Manis, Mark - FAS; Notman, Evan (E3/GCC/AID); 'Katie.Berg@treasury.gov'  
**Cc:** Strait, Elan P; Verdieck, John D; Meisel, Julia S; **Ex. 6 - Privacy, Candace Vahlsing**  
**Subject:** RE: EPA: For feedback by 5/21: Interagency paper on land use accounting approaches

Gotcha. Thanks!

**Christine Dragisic**

REDD+ Focal Point | U.S. Department of State | Office of Global Change (OES/EGC)

[DragisicCD@state.gov](mailto:DragisicCD@state.gov) | +1 (202) 736-7444 | 2201 C St NW, Room 2480 | Washington, DC 20520

SBU

This email is UNCLASSIFIED.

**From:** Hohenstein, William - OCE [<mailto:WHOHENST@oce.usda.gov>]  
**Sent:** Tuesday, May 27, 2014 11:01 AM  
**To:** Dragisic, Christine D; 'Irving.Bill@epamail.epa.gov'; Yoffe, Shira -FS; 'LeFranc.Maurice@epamail.epa.gov'; 'Toral.Patel-Weynand@usda.gov'; Manis, Mark - FAS; Notman, Evan (E3/GCC/AID); 'Katie.Berg@treasury.gov'  
**Cc:** Strait, Elan P; Verdieck, John D; Meisel, Julia S; **Ex. 6 - Privacy, Candace Vahlsing**  
**Subject:** Re: EPA: For feedback by 5/21: Interagency paper on land use accounting approaches

Chris,

One additional technical point. The statement...

# Ex. 5 - Deliberative

Just an FYI.

**From:** Dragisic, Christine D [<mailto:DragisicCD@state.gov>]

**Sent:** Tuesday, May 27, 2014 10:49 AM

**To:** Hohenstein, William - OCE; Bill Irving/DC/USEPA/US <[Irving.Bill@epamail.epa.gov](mailto:Irving.Bill@epamail.epa.gov)>; Yoffe, Shira - FS; Maurice LeFranc ([LeFranc.Maurice@epamail.epa.gov](mailto:LeFranc.Maurice@epamail.epa.gov)) <[LeFranc.Maurice@epamail.epa.gov](mailto:LeFranc.Maurice@epamail.epa.gov)>; 'Torai.Patel-Weynand@usda.gov' <[Torai.Patel-Weynand@usda.gov](mailto:Torai.Patel-Weynand@usda.gov)>; Manis, Mark - FAS; Evan Notman; 'Katie.Berg@treasury.gov' <[Katie.Berg@treasury.gov](mailto:Katie.Berg@treasury.gov)>

**Cc:** Strait, Elan P <[StraitEP@state.gov](mailto:StraitEP@state.gov)>; Verdieck, John D <[VerdieckJD@state.gov](mailto:VerdieckJD@state.gov)>; Meisel, Julia S <[MeiselJS@state.gov](mailto:MeiselJS@state.gov)>; **Ex. 6 - Privacy, Candace Vahlsing**

**Subject:** EPA: For feedback by 5/21: Interagency paper on land use accounting approaches

EPA folks - we need your input today, as this needs to go to Trigg tomorrow. And I know you want to make sure your views are incorporated. ☺

Thanks,

Chris

**Christine Dragisic**

REDD+ Focal Point | U.S. Department of State | Office of Global Change (OES/EGC)

[DragisicCD@state.gov](mailto:DragisicCD@state.gov) | +1 (202) 736-7444 | 2201 C St NW, Room 2480 | Washington, DC 20520

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This email is UNCLASSIFIED.

**From:** Dragisic, Christine D  
**Sent:** Thursday, May 22, 2014 5:08 PM  
**To:** 'Hohenstein, William - OCE'; 'Bill Irving/DC/USEPA/US'; 'syoffe@fs.fed.us'; 'Maurice LeFranc (LeFranc.Maurice@epamail.epa.gov)'; 'Torai.Patel-Weynand@usda.gov'; 'Mark.Manis@fas.usda.gov'; 'Evan Notman'; 'Katie.Berg@treasury.gov'  
**Cc:** Strait, Elan P; Verdieck, John D; Meisel, Julia S; **Ex. 6 - Privacy, Candace Vahlsing**  
**Subject:** RE: For feedback by 5/21: Interagency paper on land use accounting approaches

Folks, sorry, we had one crossed wire on an email, which provided an edit for clarification. Please use the attached version instead. Thanks!

Chris

**Christine Dragisic**

REDD+ Focal Point | U.S. Department of State | Office of Global Change (OES/EGC)

[DragisicCD@state.gov](mailto:DragisicCD@state.gov) | +1 (202) 736-7444 | 2201 C St NW, Room 2480 | Washington, DC 20520

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This email is UNCLASSIFIED.

**From:** Dragisic, Christine D  
**Sent:** Thursday, May 22, 2014 4:10 PM  
**To:** 'Hohenstein, William - OCE'; 'Bill Irving/DC/USEPA/US'; 'syoffe@fs.fed.us'; 'Maurice LeFranc (LeFranc.Maurice@epamail.epa.gov)'; 'Torai.Patel-Weynand@usda.gov'; 'Mark.Manis@fas.usda.gov'; 'Evan Notman'; 'Katie.Berg@treasury.gov'  
**Cc:** Strait, Elan P; Verdieck, John D; Meisel, Julia S; **Ex. 6 - Privacy, Candace Vahlsing**

CBD0000695

**Subject:** RE: For feedback by 5/21: Interagency paper on land use accounting approaches

USDA and Forest Service, we very much appreciate your edits to the interagency paper. EPA, could you add any thoughts you have on top of the ones in the attached document, so that we can work from one consolidated draft? We'd appreciate these as soon as possible.

Many thanks,  
Chris

**Christine Dragisic**

REDD+ Focal Point | U.S. Department of State | Office of Global Change (OES/EGC)

[DragisicCD@state.gov](mailto:DragisicCD@state.gov) | +1 (202) 736-7444 | 2201 C St NW, Room 2480 | Washington, DC 20520

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**From:** Dragisic, Christine D

**Sent:** Thursday, May 15, 2014 3:09 PM

**To:** Hohenstein, William - OCE; Bill Irving/DC/USEPA/US; [syoffe@fs.fed.us](mailto:syoffe@fs.fed.us); Maurice LeFranc ([LeFranc.Maurice@epamail.epa.gov](mailto:LeFranc.Maurice@epamail.epa.gov)); 'Toral.Patel-Weynand@usda.gov'; [Mark.Manis@fas.usda.gov](mailto:Mark.Manis@fas.usda.gov); 'Evan Notman'; [Katie.Berg@treasury.gov](mailto:Katie.Berg@treasury.gov)

**Cc:** Strait, Elan P; Verdieck, John D; Meisel, Julia S; **Ex. 6 - Privacy, Candace Vahlsing**

**Subject:** For feedback by 5/21: Interagency paper on land use accounting approaches

Hi everyone,

Please find attached a draft paper outlining potential accounting approaches the U.S. might consider taking for the land sector post-2020. As discussed two weeks ago in the meeting with Trigg and Christo, we would very much appreciate your input into the paper. You'll notice that

## **Ex. 5 - Deliberative**

enhancements to other parts of the document are welcome as well.

We would appreciate your input by Wednesday 5/21.

Many thanks,

Chris

**Christine Dragisic**

REDD+ Focal Point | U.S. Department of State | Office of Global Change (OES/EGC)

[DragisicCD@state.gov](mailto:DragisicCD@state.gov) | +1 (202) 736-7444 | 2201 C St NW, Room 2480 | Washington, DC 20520

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**To:** LeFranc, Maurice[LeFranc.Maurice@epa.gov]  
**From:** Hultman, Nathan  
**Sent:** Tue 8/26/2014 4:24:18 PM  
**Subject:** here is the draft deck  
[DVC 1 Presentation v2.9.pptx](#)

Maurice, I'm very sorry I did not get this to you before the meeting.  
Nate

**To:** LeFranc, Maurice[LeFranc.Maurice@epa.gov]  
**From:** Fawcett, Allen  
**Sent:** Wed 1/29/2014 6:23:54 PM  
**Subject:** post-2020 meeting

;  
Maurice,

Here are a few points on potential DOE post-2020 modeling for the meeting tomorrow.

Allen

# Ex. 5 - Deliberative

**To:** LeFranc, Maurice[LeFranc.Maurice@epa.gov]  
**From:** Fawcett, Allen  
**Sent:** Wed 3/5/2014 2:32:58 AM  
**Subject:** Fw: post-2020 deck  
Post-2020 presentation -- US scenarios 3-4-2014-1159.pptx

Here are the DOE slides from today's meeting.

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**From:** Mignone, Bryan <Bryan.Mignone@hq.doe.gov>  
**Sent:** Tuesday, March 04, 2014 2:04:22 PM  
**To:** Fawcett, Allen  
**Cc:** Larsen, John  
**Subject:** FW: post-2020 deck

FYI -- for discussion today. Very similar to prior versions. Let us know if helpful to discuss anything.

**From:** Larsen, John  
**Sent:** Tuesday, March 04, 2014 12:00 PM  
**To:** Mignone, Bryan  
**Subject:** post-2020 deck

Here you go

**From:** LeFranc, Maurice  
**Location:** EEOB tbd  
**Importance:** Normal  
**Subject:** Fw: HOLD: Post-2020 Analysis  
**Start Date/Time:** Tue 1/7/2014 6:00:00 PM  
**End Date/Time:** Tue 1/7/2014 7:00:00 PM

Can't tell if invite came through to you. Meeting is scheduled for 1:00-2:00 Tuesday January 7.

A briefing from Trevor Houser on the post-2020 analyses RHG is conducting.

Dan Utech, DPC  
Rick Duke, DPC/CEQ  
Paul Bodnar, NSC  
David Moore, NSC  
Jim Stock, CEA  
Christie Ulman, CEQ  
Trigg Talley, State  
Christo Artusio, State  
Clare Sierawski, State  
Sarah Dunham, EPA  
Maurice LeFranc, EPA  
Jonathan Pershing, DOE  
Bryan Mignone, DOE

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From: Vahlsing, Candace  
Sent: Friday, January 03, 2014 7:35:50 PM  
To: Vahlsing, Candace; Dunham, Sarah; LeFranc, Maurice; 'Jonathan.pershing@hq.doe.gov'; Mignone, Bryan (Bryan.Mignone@hq.doe.gov); Bassett, Luke (Luke.Bassett@Hq.Doe.Gov)  
Subject: HOLD: Post-2020 Analysis  
When: Tuesday, January 07, 2014 1:00 PM-2:00 PM.  
Where: EEOB tbd

A briefing from Trevor Houser on the post-2020 analyses RHG is conducting.

Dan Utech, DPC  
Rick Duke, DPC/CEQ  
Paul Bodnar, NSC  
David Moore, NSC  
Jim Stock, CEA  
Christie Ulman, CEQ  
Trigg Talley, State  
Christo Artusio, State  
Clare Sierawski, State  
Sarah Dunham, EPA  
Maurice LeFranc, EPA  
Jonathan Pershing, DOE  
Bryan Mignone, DOE



**From:** LeFranc, Maurice  
**Location:** WJC-N 5400 + Ex. 6 - Privacy Participant Code: Ex. 6 - Privacy  
**Importance:** Normal  
**Subject:** Accepted: Post 2020 Strategy  
**Start Date/Time:** Thur 1/16/2014 5:00:00 PM  
**End Date/Time:** Thur 1/16/2014 5:45:00 PM

**To:** LeFranc, Maurice[LeFranc.Maurice@epa.gov]  
**From:** EZTech\_Printer  
**Sent:** Wed 12/18/2013 2:25:13 PM  
**Subject:** post 2020  
[\[Untitled\].pdf](#)

Please open the attached document. This document was digitally sent to you using an HP Digital Sending device.

**From:** LeFranc, Maurice  
**Location:** Allen's Office (828)  
**Importance:** Normal  
**Subject:** Accepted: Post 2020 Modeling  
**Start Date/Time:** Thur 10/24/2013 4:00:00 PM  
**End Date/Time:** Thur 10/24/2013 5:00:00 PM

**From:** LeFranc, Maurice  
**Location:** Call  
**Importance:** Normal  
**Subject:** Accepted: Post 2020 Modeling  
**Start Date/Time:** Thur 10/24/2013 2:00:00 PM  
**End Date/Time:** Thur 10/24/2013 3:00:00 PM

**From:** LeFranc, Maurice  
**Location:** Call  
**Importance:** Normal  
**Subject:** Accepted: Post 2020 Modeling  
**Start Date/Time:** Wed 10/23/2013 5:00:00 PM  
**End Date/Time:** Wed 10/23/2013 6:00:00 PM

**To:** Verdieck, John D[VerdieckJD@state.gov]  
**From:** LeFranc, Maurice  
**Sent:** Tue 10/22/2013 8:11:05 PM  
**Subject:** RE: Post 2020 discussion starting now

Had to get off but can jump back on for a short while. Will call back in.

-----Original Message-----

**From:** Verdieck, John D [mailto:VerdieckJD@state.gov]  
**Sent:** Tuesday, October 22, 2013 4:10 PM  
**To:** LeFranc, Maurice  
**Subject:** Post 2020 discussion starting now

If you are available  
John Verdieck  
U.S. Department of State  
Office of Global Change (OES/EGC)  
VerdieckJD@state.gov  
Office: +1 202.736.7092  
Mobile: +1 202.679.1824

**To:** Sierawski, Clare S[SierawskiCS@state.gov]; Fawcett, Allen[Fawcett.Allen@epa.gov]; Pershing, Jonathan[Jonathan.Pershing@Hq.Doe.Gov]; Schuler, Reed M[SchulerRM@state.gov]; Artusio, Christo F[ArtusioCF@state.gov];  
**Ex. 6 - Privacy, Nate Hultman**  
**Ex. 6 - Privacy, Christie Ulman**  
**Ex. 6 - Privacy, Rick Duke**; LeFranc, Maurice[LeFranc.Maurice@epa.gov]; Bassett; **Ex. 6 - Privacy, Paul Bodnar**  
Luke[Luke.Bassett@Hq.Doe.Gov]; Fores, Jim[Jim.Fores@hq.doe.gov]; Vahlsing, Candace;  
**Ex. 6 - Privacy**  
**From:** Hultman, Nathan  
**Sent:** Mon 4/7/2014 10:09:00 PM  
**Subject:** RE: China modelling call  
Possible useful indicators from LBNL model.docx

All,  
As discussed, here are is a 1-page summary of a few possible indicators from the LBNL model.  
Nate

-----Original Appointment-----

**From:** Sierawski, Clare S [mailto:SierawskiCS@state.gov]  
**Sent:** Friday, April 04, 2014 6:37 PM  
**To:** Fawcett, Allen; Pershing, Jonathan; Schuler, Reed M; Artusio, Christo F;  
**Ex. 6 - Privacy, Nate Hultman** **Ex. 6 - Privacy, Christie Ulman** **Ex. 6 - Privacy, Rick Duke**  
LeFranc, Maurice; Bassett; Luke; Fores, Jim; Vahlsing, Candace  
**Subject:** China modelling call  
**When:** Monday, April 07, 2014 4:30 PM-5:00 PM (UTC-05:00) Eastern Time (US & Canada).  
**Where:** Call: from within the U.S. call: **Ex. 6 - Privacy** Participant code: **Ex. 6 - Privacy**

Hi all,

It looks like this is the best time for folks. We will primarily be talking about next steps with LBNL (I think things are on track with PNNL). Attached is the paper Nate put together from his discussions with Lynn Price, and below is Allen's useful response to my earlier email re. Todd's input.

Thank you, and have a great weekend!  
Clare

**From:** Fawcett, Allen [mailto:Fawcett.Allen@epa.gov]  
**Sent:** Friday, April 04, 2014 9:55 AM  
**To:** Pershing, Jonathan; Sierawski, Clare S; Schuler, Reed M; Artusio, Christo F;  
**Ex. 6 - Privacy, Nate Hultman** **Ex. 6 - Privacy, Christie Ulman** **Ex. 6 - Privacy, Rick Duke**  
LeFranc, Maurice; **Ex. 6 - Privacy, Paul Bodnar**  
**Cc:** Saleh, Kareem N; Bassett, Luke; Fores, Jim  
**Subject:** Re: China Modelling

Hi everyone,  
I can't do today, but Monday or Tuesday after 4 both work for me.

Sorry for just chiming in on this, I had to bury my nose in some math yesterday and ignore email. I think things are on track on the funding side, I talked to Leon yesterday, and we're talking to Reed and folks later this morning to nail down the details.

On the substantive issues, I think these are the right questions, and I think we

## **Ex. 5 - Deliberative**

Allen



**From:** Pershing, Jonathan  
**Sent:** Thursday, April 3, 2014 11:01 PM  
**To:** 'Sierawski, Clare S'; 'Schuler, Reed M'; 'Artusio, Christo F'; **Ex. 6 - Privacy, Nate Hultman**  
**Ex. 6 - Privacy, Christie Ulman**; **Ex. 6 - Privacy, Rick Duke**; LeFranc, Maurice; Fawcett, Allen; **Ex. 6 - Privacy, Paul Bodnar**  
**Cc:** 'Saleh, Kareem N'; Bassett, Luke; Fores, Jim  
**Subject:** RE: China Modelling

I cannot do tomorrow, but fine for either Monday or Tuesday after 4.

-----Original Message-----

**From:** Sierawski, Clare S [[SierawskiCS@state.gov](mailto:SierawskiCS@state.gov)]  
**Sent:** Thursday, April 03, 2014 05:15 PM Eastern Standard Time  
**To:** Pershing, Jonathan; Schuler, Reed M; Artusio, Christo F;  
**Ex. 6 - Privacy, Nate Hultman**; **Ex. 6 - Privacy, Christie Ulman**  
**Ex. 6 - Privacy, Rick Duke**; 'LeFranc.Maurice@epa.gov'; 'Fawcett.Allen@epa.gov';  
**Ex. 6 - Privacy, Paul Bodnar**  
**Cc:** Saleh, Kareem N; Bassett, Luke; Fores, Jim  
**Subject:** RE: China Modelling

Thanks JP. I think things are in train on the PNNL front (I should be able to get Dave/Trigg sign off Monday morning), but we should make sure we have agreement on/get things moving to support LBNL (in addition to discussing the issue JP raises below). Let's to another call to nail this down/make sure we're all clear on next steps. Nate put together the attached paper based on his conversations with Lynn Price recently.

Christo is leading the IPCC del in Berlin, so we need to do something in the late afternoon. Can everyone please let me know your availability for **Friday (tomorrow) after 3pm; Monday after 4pm and Tuesday after 4pm?**

Thank you!  
Clare

**From:** Pershing, Jonathan [<mailto:Jonathan.Pershing@Hq.Doe.Gov>]  
**Sent:** Thursday, April 03, 2014 5:00 PM  
**To:** Schuler, Reed M; Sierawski, Clare S; Artusio, Christo F; **Ex. 6 - Privacy, Nate Hultman**  
**Ex. 6 - Privacy, Christie Ulman**; **Ex. 6 - Privacy, Rick Duke**; 'LeFranc.Maurice@epa.gov'; 'Fawcett.Allen@epa.gov'; **Ex. 6 - Privacy, Paul Bodnar**  
**Cc:** Saleh, Kareem N  
**Subject:** RE: China Modelling

## Ex. 5 - Deliberative

-----Original Message-----

**From:** Schuler, Reed M [SchulerRM@state.gov]

**Sent:** Thursday, April 03, 2014 04:38 PM Eastern Standard Time

**To:** Sierawski, Clare S; Artusio, Christo F; Pershing, Jonathan;

Ex. 6 - Privacy, Nate Hultman

Ex. 6 - Privacy, Christie Ulman

Ex. 6 - Privacy, Rick Duke

'LeFranc.Maurice@epa.gov'; 'Fawcett.Allen@epa.gov';

Ex. 6 - Privacy, Paul Bodnar

**Cc:** Saleh, Kareem N

**Subject:** RE: China Modelling

On the PNNL side, which will involve

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Ex. 5 - Deliberative

# Ex. 5 - Deliberative

figure out how to start quickly, and we should be able to finalize our approach tomorrow. Clare, will you pin Trigg and Dave down on approving the funding when they are back in the office on Monday/Tuesday? I'll be out.

Best,

Red

This email is UNCLASSIFIED.

**From:** Sierawski, Clare S

**Sent:** Thursday, April 03, 2014 4:01 PM

**To:** Artusio, Christo F; 'Jonathan.Pershing@Hq.Doe.Gov'; Ex. 6 - Privacy, Nate Hultman

Ex. 6 - Privacy, Christie Ulman

Ex. 6 - Privacy, Rick Duke

Schuler, Reed M;

'LeFranc.Maurice@epa.gov'; 'Fawcett.Allen@epa.gov';

Ex. 6 - Privacy, Paul Bodnar

**Cc:** Saleh, Kareem N

**Subject:** China Modelling

**Importance:** High

Hi Team China Modelling,

I just finally got a chance to run this all by Todd. He likes the idea of moving forward with PNNL and LBNL in addition to Trevor (and the idea of having US-China modeler-to-modeler exchanges to help with

Ex. 5 - Deliberative

). His two main concerns:

1. **Asking the Correct Question:** he wants to make sure we get the information we need by asking the

right basic question. Everything else (e.g. country briefs etc.) should be secondary to answering this basic (but, as we know, hard to answer) question:

## **Ex. 5 - Deliberative**

This is the basic question on China that we should be asking PNNL/LBNL to answer (we've discussed this, but I want to make sure we're all on the same page).

## **Ex. 5 - Deliberative**

Does this synch with conversations with PNNL/LBNL and what/when they can deliver? What do we need to do to make sure this is in train and on the right track?

Thank you!  
Clare

<< File: LBNL China Energy End Use Model v1 0.docx >>

**To:** 'Jonathan.Pershing@hq.doe.gov'  
(Jonathan.Pershing@hq.doe.gov)[Jonathan.Pershing@hq.doe.gov]; Fawcett,  
Allen[Fawcett.Allen@epa.gov]; LeFranc, Maurice[LeFranc.Maurice@epa.gov]; Schuler, Reed  
M[SchulerRM@state.gov]; David Vance Wagne[Ex. 6 - Privacy]; Fores,  
Jim[Jim.Fores@hq.doe.gov]; Bassett, Luke[Luke.Bassett@Hq.Doe.Gov]  
**Cc:** Artusio, Christo F[ArtusioCF@state.gov]  
**From:** Sierawski, Clare S  
**Sent:** Fri 5/23/2014 5:11:18 PM  
**Subject:** Follow-up on yesterday's modelling meeting  
To share Revised Proposal for One Day Meeting - Joint Collaboration on Post-2020 Plans 2.docx

Dear Jonathan, Nate, Allen, Reed, and Vance,

Thank you for the good meeting yesterday. Regarding follow-up items:

## Ex. 5 - Deliberative

Please let me know if I've left out anything.

Thank you, and have a great weekend!

Clare

Clare Sierawski

Senior Climate Change Adviser

U.S. Department of State

202-647-9816

**To:** LeFranc, Maurice[LeFranc.Maurice@epa.gov]; Stewart, Lori[Stewart.Lori@epa.gov]  
**From:** Niebling, William  
**Sent:** Mon 2/24/2014 9:50:58 PM  
**Subject:** RE: Principals mtg tomorrow  
[China points for Principals Meeting.docx](#)

Maurice and Lori - here is the reformulated version I just dashed off to the third floor for tomorrow's China Priorities principals meeting at the WH.

They had a 445pm deadline, so I didn't have much time for proofreading. Just tried to use the last half hour to bring some order to the memo.

Didn't do much of anything on substance. I worked in this morning's points on **Ex. 5 - Deliberative** Hopefully I didn't make any glaring errors. Overall, I think this is a good overview of what we are doing. I just think there is so much information in it that it is a bit unruly. Hopefully a little structure helps. Comments welcome, in anticipation of the next fire drill.

-Wm.

-----Original Message-----

**From:** LeFranc, Maurice  
**Sent:** Monday, February 24, 2014 4:40 PM  
**To:** Stewart, Lori  
**Cc:** Niebling, William  
**Subject:** Re: Principals mtg tomorrow

Thanks for keeping me posted. I am in touch with State people on follow up from Kerry's trip.

We are all awake in Beijing at 5:00 am waiting for day to get started (jet lag). Met with embassy last night and now will push vehicles work this week.

---

**From:** Stewart, Lori  
**Sent:** Tuesday, February 25, 2014 5:28:48 AM  
**To:** LeFranc, Maurice  
**Cc:** Niebling, William  
**Subject:** RE: Principals mtg tomorrow

The Administrator ended up requesting add'l info. before her Kerry/Moniz meeting today and Will is now incorporating that into the paper sent to her on Friday to send forward for this meeting. I will forward you the email Will sent earlier right before her 11:00 meeting so you can see the new material.

-----Original Message-----

**From:** LeFranc, Maurice  
**Sent:** Monday, February 24, 2014 4:14 PM  
**To:** McCabe, Janet; Goffman, Joseph; Stewart, Lori  
**Subject:** Fw: Principals mtg tomorrow

FYI - I believe OITA provided materials.

---

**From:** Dubin, Noah  
**Sent:** Monday, February 24, 2014 10:51:53 PM  
**To:** Knapp, Kristien  
**Cc:** Troche, Luis; LeFranc, Maurice; Geller, Michael  
**Subject:** Fw: Principals mtg tomorrow

Is OAR lead here? You guys took the wheel with the mtg w/ Kerry and Moniz, so you might be responsible here too (with OITA input).

---

From: Herckis, Arian

Sent: Monday, February 24, 2014 8:44:21 AM

To: McCabe, Janet; Nishida, Jane; Dubin, Noah; Geller, Michael; Atkinson, Emily

Subject: Principals mtg tomorrow

Please be aware that the Administrator is confirmed to attend a Principals mtg tomorrow on China 2014 priorities, called by the National Security Council. I have no additional information re: the mtg at this point but if I receive more I will be sure to share that with everyone. Please submit briefing materials as appropriate.

**To:** Schreifels, Jeremy[Schreifels.Jeremy@epa.gov]  
**Cc:** LeFranc, Maurice[LeFranc.Maurice@epa.gov]  
**From:** Krieger, Jackie  
**Sent:** Wed 2/19/2014 6:14:08 PM  
**Subject:** Re: Framing China piece

Thanks, Jeremy, I think this is better. I'm in a mtg and so am adding Maurice now so that he has it sooner than later.

---

**From:** Schreifels, Jeremy  
**Sent:** Wednesday, February 19, 2014 6:07:33 PM  
**To:** Krieger, Jackie  
**Subject:** FW: Framing China piece

Jackie,

Here are some thoughts on the power sector:

# Ex. 5 - Deliberative

**From:** LeFranc, Maurice  
**Sent:** Wednesday, February 19, 2014 9:56 AM  
**To:** Blubaugh, Jim; Krieger, Jackie; Evarts, Dale; Niebling, William  
**Cc:** McCabe, Janet; Goffman, Joseph



**Subject:** RE: Framing China piece

Following up on our conversations yesterday and Janet's email from last night.

Here is where I think we need to be in framing the China issues for the Administrator's consideration. I have organized these around the priorities that we know are going forward out of the various visits by the VPOTUS, Sec. Kerry and the Administrator and that build on the

## **Ex. 5 - Deliberative**

Sorry this is so fast moving – hopefully we can tee up some ideas for Janet to share with the Administrator tomorrow and then have more time to work these through later.

## **Ex. 5 - Deliberative**

# **Ex. 5 - Deliberative**

# **Ex. 5 - Deliberative**

I also need to check in with OITA to coordinate for this meeting between the Administrator and Secs. Kerry and Moniz.

**To:** LeFranc, Maurice[LeFranc.Maurice@epa.gov]  
**Cc:** Chiu, Kong[Chiu.Kong@epa.gov]  
**From:** Krieger, Jackie  
**Sent:** Wed 2/19/2014 5:44:43 PM  
**Subject:** FW: Framing China piece

Maurice, here are a few bullets for GHG MRV, from Kong (Kong: I made a few minor edits to what you sent)

# Ex. 5 - Deliberative

**From:** LeFranc, Maurice  
**Sent:** Wednesday, February 19, 2014 9:56 AM  
**To:** Blubaugh, Jim; Krieger, Jackie; Evarts, Dale; Niebling, William  
**Cc:** McCabe, Janet; Goffman, Joseph  
**Subject:** RE: Framing China piece

Following up on our conversations yesterday and Janet's email from last night.

Here is where I think we need to be in framing the China issues for the Administrator's consideration. I have organized these around the priorities that we know are going forward out of the various visits by the VPOTUS, Sec. Kerry and the Administrator and that build on the

## **Ex. 5 - Deliberative**

Sorry this is so fast moving – hopefully we can tee up some ideas for Janet to share with the Administrator tomorrow and then have more time to work these through later.

## **Ex. 5 - Deliberative**

# **Ex. 5 - Deliberative**

# **Ex. 5 - Deliberative**

I also need to check in with OITA to coordinate for this meeting between the Administrator and Secs. Kerry and Moniz.

**To:** LeFranc, Maurice[LeFranc.Maurice@epa.gov]  
**From:** Sierawski, Clare S  
**Sent:** Tue 2/18/2014 11:30:29 PM  
**Subject:** For the meeting on the 24th

Maurice – for your eyes only - as promised, here is what I quickly drafted for the meeting between Gina/Kerry/Moniz on China (I'm sure it will change between now and the final draft BCL, but hopefully it helps clarify how we are currently thinking and what Kerry might say) – please let me know if you have any questions:

## **Ex. 5 - Deliberative**



# **Ex. 5 - Deliberative**

Clare Sierawski

Senior Climate Change Adviser

U.S. Department of State

202-647-9816

**To:** LeFranc, Maurice[LeFranc.Maurice@epa.gov]  
**From:** Kasman, Mark  
**Sent:** Tue 12/3/2013 6:42:16 PM  
**Subject:** RE: Administrator's comments on paper  
[Tab G Fuel Desulfurization Workshop.doc](#)  
[Tab J Meeting wth Minister Zhou.docx](#)  
[Tab K JCEC.docx](#)  
[Tab N Meeting with NDRC Vice Chairman Xie.doc](#)  
[Tab Y Hong Kong EB LUNCH Meeting.docx](#)

This should get you started...

**From:** LeFranc, Maurice  
**Sent:** Tuesday, December 03, 2013 1:37 PM  
**To:** Kasman, Mark; Nishida, Jane  
**Subject:** RE: Administrator's comments on paper

Thanks Mark. I have not seen all the pieces that were pulled together either from us or from others. I am trying to get a sense of whether we should work off a part of the briefing book or simply provide what the asks would be for select meetings. For example, two that come to mind are the MEP meetings and NDRC where we could tee up either **Ex. 5 - Deliberative** I am not sure we have much for the Hong Kong or Taiwan meetings or the meeting with the Chamber.

I am hoping to focus what we ask people to do between today and Thursday so they don't overdo it and so we get background to you in a timely manner.

So for now I will ask Dale and Jim Blubaugh to pull together "asks" or outcomes for the MEP and NDRC meetings and see where we go from there.

**From:** Kasman, Mark  
**Sent:** Tuesday, December 03, 2013 1:32 PM  
**To:** LeFranc, Maurice; Nishida, Jane  
**Subject:** RE: Administrator's comments on paper

Maurice,

The Administrator did not give me the piece of paper with her notes. I only have the briefing book.

I am going through her notes she wrote on the book itself now.

Which sections of the briefing book would you like me to send you? We are going to be changing all of the briefing notes to include a Key Messages line and a Key Asks line.

Mark

**From:** LeFranc, Maurice  
**Sent:** Tuesday, December 03, 2013 1:20 PM  
**To:** Kasman, Mark; Nishida, Jane  
**Subject:** Administrator's comments on paper

Mark:

Could you scan in the piece of paper that Gina marked up and email it over to me? We can then figure out how to provide more detail and/or “asks” for the various sections.

I will also get the other materials to you by COB today or tomorrow morning at the latest.

Thanks.

Maurice

Maurice N. LeFranc, Jr.

Senior Advisor for International Climate Change

Office of Air and Radiation

U.S. Environmental Protection Agency

Office Phone: 202-564-1813

Mobile: 202-450-7863



In light of the overwhelming scientific consensus on climate change and its worsening impacts, and the related issue of air pollution from burning fossil fuels, the United States and China recognize the urgent need for action to meet these twin challenges. Both sides reaffirm their commitment to contribute significantly to successful 2015 global efforts to meet this challenge. Accordingly, China and the United States will work together, within the vehicle of the U.S.-China Climate Change Working Group (CCWG) launched last year, to collaborate through enhanced policy dialogue, including the sharing of information regarding their respective post-2020 plans to limit greenhouse gas emissions. Regarding practical cooperative actions to reduce greenhouse gas emissions and other air pollutants, the two sides have reached agreement on the implementation plans on the five initiatives launched under the CCWG, including Emission Reductions from Heavy Duty and Other Vehicles, Smart Grids, Carbon Capture Utilization and Storage, Collecting and Managing Greenhouse Gas Emissions Data, and Energy Efficiency in Buildings and Industry, and commit to devote significant effort and resources to secure concrete results by the Sixth U.S.-China Strategic and Economic Dialogue in 2014.

信息来源: [应对气候变化司网站](#)

**[E-mail推荐]** [字体: 太虫  
小]



主办单位: 中华人民共和国国家发展和改革委员会 京ICP备05052393号  
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\*\*\*\*\* ATTACHMENT NOT DELIVERED \*\*\*\*\*

**To:** Hansel, Peter[Ex. 6 - Privacy]; Ohrel, Sara[Ohrel.Sara@epa.gov]; Fawcett, Allen[Fawcett.Allen@epa.gov]; Duke, Rick[Ex. 6 - Privacy]  
**Cc:** West, Tris[Ex. 6 - Privacy]  
**From:** LeFranc, Maurice  
**Sent:** Fri 9/26/2014 7:35:16 PM  
**Subject:** Re: Briefing on EPA LULUCF Projections

Peter:

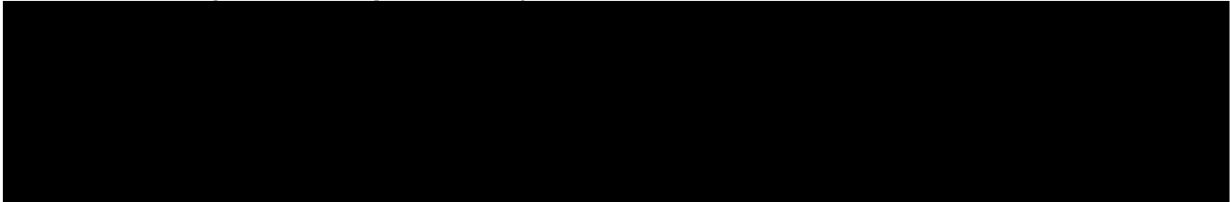
Please pass on to others that the questions need to pertain only to the modeling results

## Ex. 5 - Deliberative

Lastly, we are doing this modeling in the midst of very busy domestic schedule. So we do not have time to cover and extensive list of questions at this time.

Please make sure I am copied on the questions although I most likely cannot call in for Wednesday meeting.

Sent from my BlackBerry 10 smartphone on the Verizon Wireless 4G LTE network.



Neither of those alternate times will work our us. Let's stay with Wednesday at noon but we will send over specific questions today or Monday so that your modeler can review and provide answers for prior to our meeting on Wednesday.

Thanks,  
Pete

**From:** Ohrel, Sara [mailto:Ohrel.Sara@epa.gov]  
**Sent:** Friday, September 26, 2014 3:24 PM  
**To:** Hansel, Peter; LeFranc, Maurice; Fawcett, Allen; Duke, Rick  
**Cc:** West, Tris  
**Subject:** Re: Briefing on EPA LULUCF Projections

Hi Peter,

It turns out our modeler will be on a plane Wednesday at noon. Our team can now do Tues 12-1, 4-6 with Allen and I in person or Monday 9-10, 3-5 with Allen in person.

Thanks,

Sara

**From:** Hansel, Peter

**Sent:** Friday, September 26, 2014 9:40 AM

**To:** LeFranc, Maurice; Fawcett, Allen; Duke, Rick

**Cc:** West, Tris; Ohrel, Sara

**Subject:** RE: Briefing on EPA LULUCF Projections

Maurice,

OK. Does Wednesday at 12 PM work?

Thanks,

Pete

**From:** LeFranc, Maurice [<mailto:LeFranc.Maurice@epa.gov>]

**Sent:** Friday, September 26, 2014 8:43 AM

**To:** Fawcett, Allen; Hansel, Peter; Duke, Rick

**Cc:** West, Tris; Ohrel, Sara

**Subject:** RE: Briefing on EPA LULUCF Projections

Peter:



It would be better if this could be Tuesday or Wednesday when Sara could be in the room. She led on this for us. Any way it can be pushed back a day or two? Thanks.

Maurice

**From:** Fawcett, Allen  
**Sent:** Thursday, September 25, 2014 8:28 PM  
**To:** Hansel, Peter; LeFranc, Maurice; Duke, Rick  
**Cc:** West, Tris; Ohrel, Sara  
**Subject:** Re: Briefing on EPA LULUCF Projections

3:30 Monday works for me. Sara will most likely have to call in for a Monday meeting, and we'll have to check if that time works for Brent Sohngen.

**From:** Hansel, Peter  
**Sent:** Thursday, September 25, 2014 7:45 PM  
**To:** LeFranc, Maurice; Duke, Rick  
**Cc:** West, Tris; Ohrel, Sara; Fawcett, Allen  
**Subject:** RE: Briefing on EPA LULUCF Projections

Maurice,

Great. Thanks for this. Let's plan on having your team meet with Rick, Tris and I from CEQ, and Christo from State on Monday. Would 3:30 PM work for Allen and Sara?

After meeting next week, we can work on scheduling something early in the week of October 20.

Thanks,

Pete

**From:** LeFranc, Maurice [<mailto:LeFranc.Maurice@epa.gov>]  
**Sent:** Thursday, September 25, 2014 4:30 PM  
**To:** Hansel, Peter; Duke, Rick; Duke, Rick  
**Cc:** West, Tris; Ohrel, Sara; Fawcett, Allen  
**Subject:** RE: Briefing on EPA LULUCF Projections

Rick:

I caught up with Allen and Sara and have the following proposals.

Allen and Sara would be able to meet with you and your team between Monday and Wednesday next week to discuss the initial modeling runs that we sent over last week. They would also have the modeler call in if available. I am on travel at an Arctic Council meeting so am unavailable. Again, this meeting would focus on the runs we shared with you last week.

We would also then begin planning a more detailed briefing on our modeling efforts (with our modelers) the week of October 20. We could get them to come and in and explain their efforts and answer questions.

## Ex. 5 - Deliberative

Once we make some progress we would like to brainstorm with you and State to see what you think. We will probably develop a few options with benefits and risks to choosing each policy option.

Sara or Allen will be in touch to find a time to meet next week.

Thanks.

Maurice

**From:** Hansel, Peter [mailto:[redacted](#)] **Ex. 6 - Privacy**  
**Sent:** Thursday, September 25, 2014 12:07 PM  
**To:** LeFranc, Maurice  
**Cc:** West, Tris; Ohrel, Sara; Fawcett, Allen  
**Subject:** RE: Briefing on EPA LULUCF Projections

Maurice,

Thanks for getting back to me. **Ex. 5 - Deliberative**

**Ex. 5 - Deliberative**

Can we shoot for meeting on Monday, October 6<sup>th</sup> so that EPA can give a full brief to Rick?  
Then later that same week, we would like to have an interagency meeting with USDA, EPA, and  
CEQ to present each agency's results and discuss next steps.

Does this timing work for you? Rick is free until 1 PM and after 3 on Monday.

Thanks,  
Pete

**From:** LeFranc, Maurice [<mailto:LeFranc.Maurice@epa.gov>]  
**Sent:** Thursday, September 25, 2014 10:42 AM  
**To:** Hansel, Peter  
**Cc:** West, Tris; Ohrel, Sara; Fawcett, Allen  
**Subject:** RE: Briefing on EPA LULUCF Projections

Pete:

A couple of things.

I am on travel all next week so am not available. In addition, these are just initial runs by one of our contractors/consultants. Once we have the full model runs we were planning to ask Rick to host a briefing at CEQ with us and the modelers. So I am not sure a full briefing on these initial runs is worthwhile at this time.

So if it can wait until the week of October 6 it would be better and if we could get a better idea of what the questions are it would be helpful. We would only be able to discuss the piece that we sent over late last week.

Maurice

**From:** Hansel, Peter [<mailto:> **Ex. 6 - Privacy**]  
**Sent:** Thursday, September 25, 2014 9:24 AM  
**To:** LeFranc, Maurice  
**Cc:** West, Tris  
**Subject:** Briefing on EPA LULUCF Projections

Maurice,

Would you and Sara be able to come into CEQ in the next week to brief Rick and Tris on EPA's LULUCF projections? It would be helpful to get a more in depth technical discussion of EPA's projections. Rick is free early next week: Monday 11 AM – 1 PM and 2 PM – 5 PM or Tuesday 10 AM – 1 PM. Would any hour time slot work for your team?

Thanks,  
Pete

**To:** Artusio, Christo F[ArtusioCF@state.gov]; Talley, Trigg[TalleyT@state.gov]  
**Cc:** Ohrel, Sara[Ohrel.Sara@epa.gov]; Fawcett, Allen[Fawcett.Allen@epa.gov]  
**From:** LeFranc, Maurice  
**Sent:** Fri 9/26/2014 12:46:13 PM  
**Subject:** RE: Briefing on EPA LULUCF Projections

Christo:

I'll try to catch you briefly just to frame where we are. I am then out next week on Arctic Council travel but back in when you and Trigg return on the 6<sup>th</sup>. Want to set up something early that week. We should have some ideas about uncertainties and baselines by then.

What is your Blackberry number?

Maurice

**From:** Artusio, Christo F [mailto:ArtusioCF@state.gov]  
**Sent:** Thursday, September 25, 2014 4:39 PM  
**To:** LeFranc, Maurice; Talley, Trigg  
**Cc:** Ohrel, Sara; Fawcett, Allen  
**Subject:** RE: Briefing on EPA LULUCF Projections

Thanks very much, Maurice. We would welcome the opportunity to chat. Trigg and I are in New York all day Friday at different events. I should have time between 9 and 10 as I head to the airport, or 11:30-1 as I head into NYC.

Assuming you and I don't have a chance to get into detail, it would be useful to dive into some depth on your projections and on the uncertainty question as soon as possible. Trigg and I will be in next Monday, and then out the rest of the week.

**From:** LeFranc, Maurice [mailto:LeFranc.Maurice@epa.gov]  
**Sent:** Thursday, September 25, 2014 4:35 PM  
**To:** Talley, Trigg; Artusio, Christo F

**Cc:** Ohrel, Sara; Fawcett, Allen  
**Subject:** FW: Briefing on EPA LULUCF Projections

Trigg/Christo:

See email below that we sent over to Rick. Would love to have a minute to discuss this tomorrow before I leave for a week of travel.

## Ex. 5 - Deliberative

Ex. 5 - Deliberative

Glad to discuss.

Maurice

**From:** LeFranc, Maurice  
**Sent:** Thursday, September 25, 2014 4:30 PM  
**To:** 'Hansel, Peter'; 'Duke, Rick'; Duke, Rick (Ex. 6 - Privacy)  
**Cc:** West, Tris; Ohrel, Sara; Fawcett, Allen  
**Subject:** RE: Briefing on EPA LULUCF Projections

Rick:

I caught up with Allen and Sara and have the following proposals.

Allen and Sara would be able to meet with you and your team between Monday and Wednesday next week to discuss the initial modeling runs that we sent over last week. They would also have the modeler call in if available. I am on travel at an Arctic Council meeting so am unavailable. Again, this meeting would focus on the runs we shared with you last week.

We would also then begin planning a more detailed briefing on our modeling efforts (with our modelers) the week of October 20. We could get them to come and in and explain their efforts and answer questions.

## Ex. 5 - Deliberative

Once we make some progress we would like to brainstorm with you and State to see what you think. We will probably develop a few options with benefits and risks to choosing each policy option.

Sara or Allen will be in touch to find a time to meet next week.

Thanks.

Maurice

**From:** Hansel, Peter [[mailto:](#) **Ex. 6 - Privacy**]

**Sent:** Thursday, September 25, 2014 12:07 PM

**To:** LeFranc, Maurice



**Cc:** West, Tris; Ohrel, Sara; Fawcett, Allen  
**Subject:** RE: Briefing on EPA LULUCF Projections

Maurice,

Thanks for getting back to me.

**Ex. 5 - Deliberative**

## **Ex. 5 - Deliberative**

Can we shoot for meeting on Monday, October 6<sup>th</sup> so that EPA can give a full brief to Rick?  
Then later that same week, we would like to have an interagency meeting with USDA, EPA, and  
CEQ to present each agency's results and discuss next steps.

Does this timing work for you? Rick is free until 1 PM and after 3 on Monday.

Thanks,  
Pete

**From:** LeFranc, Maurice [<mailto:LeFranc.Maurice@epa.gov>]  
**Sent:** Thursday, September 25, 2014 10:42 AM  
**To:** Hansel, Peter  
**Cc:** West, Tris; Ohrel, Sara; Fawcett, Allen  
**Subject:** RE: Briefing on EPA LULUCF Projections

Pete:

A couple of things.

I am on travel all next week so am not available. In addition, these are just initial runs by one of our contractors/consultants. Once we have the full model runs we were planning to ask Rick to host a briefing at CEQ with us and the modelers. So I am not sure a full briefing on these initial runs is worthwhile at this time.

So if it can wait until the week of October 6 it would be better and if we could get a better idea of what the questions are it would be helpful. We would only be able to discuss the piece that we sent over late last week.

Maurice

**From:** Hansel, Peter [[mailto:](#) **Ex. 6 - Privacy**]  
**Sent:** Thursday, September 25, 2014 9:24 AM  
**To:** LeFranc, Maurice  
**Cc:** West, Tris  
**Subject:** Briefing on EPA LULUCF Projections

Maurice,

Would you and Sara be able to come into CEQ in the next week to brief Rick and Tris on EPA's LULUCF projections? It would be helpful to get a more in depth technical discussion of EPA's projections. Rick is free early next week: Monday 11 AM – 1 PM and 2 PM – 5 PM or Tuesday 10 AM – 1 PM. Would any hour time slot work for your team?

Thanks,  
Pete

**To:** Duke, Rick[Ex. 6 - Privacy]  
**Cc:** West, Tris[Ex. 6 - Privacy]; Hansel, Peter[Ex. 6 - Privacy];  
Ohrel, Sara[Ohrel.Sara@epa.gov]; Fawcett, Allen[Fawcett.Allen@epa.gov]  
**From:** LeFranc, Maurice  
**Sent:** Wed 9/24/2014 3:35:59 PM  
**Subject:** RE: quick inventory numbers

Rick:

Welcome back. We have the summary of the last eight inventories for 2005 for LULUCF, net and gross emissions. Really quickly it seems that the high number and low number for LULUCF for those eight years for 2005 swings about 12% in both directions (so high and low) against an average of around 993.8 MMTCE for the eight years. The difference between the highest number (1122.7 MMTCE) and lowest number (828.5 MMTCE) is around 35% - this occurred in a three year period between 2007 and 2009.

We will continue to have our modelers work on[Ex. 5 - Deliberative] but can't afford the time to have them do much else if we are going to finish in a timely manner. We also have a lot on our plates right now. We will continue to shoot for delivery in the next month or so or initial runs building on what we sent last week.

Sara and I discussed spending some time this week on a few creative ideas for how we might want to[Ex. 5 - Deliberative] Will brainstorm and then connect with you – I am on travel all next week but we could connect when I return.

I will send you the inventory spreadsheet shortly.

Maurice

**From:** Duke, Rick [mailto:[Ex. 6 - Privacy]]  
**Sent:** Wednesday, September 24, 2014 11:21 AM  
**To:** LeFranc, Maurice  
**Cc:** West, Tris; Hansel, Peter  
**Subject:** RE: quick inventory numbers

Interesting, thanks.

+Tris and Pete fysa

Looking forward to seeing this summary of year-to-year inventory shifts over the past 10 years.  
Will that summary include **Ex. 5 - Deliberative**?

**From:** LeFranc, Maurice [<mailto:LeFranc.Maurice@epa.gov>]  
**Sent:** Monday, September 22, 2014 4:54 PM  
**To:** Duke, Rick; Duke, Rick  
**Subject:** quick inventory numbers

Rick:

I have the averages for the past 10 years for LULUCF, Net and Gross. Will need to work through them tomorrow.

## **Ex. 5 - Deliberative**

**Ex. 5 - Deliberative**

**Ex. 5 - Deliberative**

**Ex. 5 - Deliberative**

Maurice

Maurice N. LeFranc, Jr.

Senior Advisor for International Climate Change

Office of Air and Radiation

U.S. Environmental Protection Agency

Office Phone: 202-564-1813

Mobile: 202-450-7863

**To:** DeLuca, Isabel[DeLuca.Isabel@epa.gov]; Ashley, Jackie[Ashley.Jackie@epa.gov]; Culligan, Kevin[Culligan.Kevin@epa.gov]; Risley, David[Risley.David@epa.gov]; Evarts, Dale[Evarts.Dale@epa.gov]  
**Cc:** Drinkard, Andrea[Drinkard.Andrea@epa.gov]; Terry, Sara[Terry.Sara@epa.gov]; Niebling, William[Niebling.William@epa.gov]  
**From:** LeFranc, Maurice  
**Sent:** Tue 9/16/2014 8:32:00 PM  
**Subject:** RE: Q from Chinese on 2025-2030 goals - due by 4 pm

Thanks Isabel. Not too late.

I will use this tomorrow for a brief response if the Chinese again come back on this question. We will not be sharing paper with them.

We have talked this through here and our discussions are consistent with what you and Jackie sent over.

Thank you to all.

**From:** DeLuca, Isabel  
**Sent:** Tuesday, September 16, 2014 4:27 PM  
**To:** Ashley, Jackie; Culligan, Kevin; Risley, David; Evarts, Dale  
**Cc:** Drinkard, Andrea; Terry, Sara; LeFranc, Maurice; Niebling, William  
**Subject:** RE: Q from Chinese on 2025-2030 goals - due by 4 pm

Hi Jackie,

Sorry for the late response. If there's still scope for changes, here are suggested revisions. Folks here shared

<b>Ex. 5 - Deliberative</b>	
<b>Ex. 5 - Deliberative</b>	Take 'em or leave 'em! ☺

## Ex. 5 - Deliberative

# Ex. 5 - Deliberative

**From:** Ashley, Jackie

**Sent:** Tuesday, September 16, 2014 2:01 PM

**To:** Culligan, Kevin; Risley, David; Evarts, Dale; DeLuca, Isabel

**Cc:** Drinkard, Andrea; Terry, Sara; LeFranc, Maurice; Niebling, William

**Subject:** Q from Chinese on 2025-2030 goals - due by 4 pm

**Importance:** High

Maurice LeFranc has asked us for an answer to the following question, raised by the Chinese. I've pulled together a draft answer. Please review and send me comments **NLT 4 pm today**. We need to have this back to Maurice by 5 p.m. Thanks.

# Ex. 5 - Deliberative

# Ex. 5 - Deliberative

-----  
Jackie Ashley - US EPA - Office of Air Quality Planning and Standards - 919-541-7664 – [ashley.jackie@epa.gov](mailto:ashley.jackie@epa.gov)

**From:** LeFranc, Maurice  
**Sent:** Tuesday, September 16, 2014 12:12 PM  
**To:** Drinkard, Andrea; Ashley, Jackie  
**Subject:** Line from Chinese question on Clean Power Plan

Here it the quote from the Chinese raised in a meeting in Beijing. Very straightforward:

## Ex. 5 - Deliberative

Thanks – need by end of the day for a 7:00 a.m. video conference tomorrow.

Maurice N. LeFranc, Jr.

Senior Advisor for International Climate Change

Office of Air and Radiation

U.S. Environmental Protection Agency

Office Phone: 202-564-1813

Mobile: 202-450-7863



**To:** Ohrel, Sara[Ohrel.Sara@epa.gov]  
**From:** LeFranc, Maurice  
**Sent:** Mon 9/8/2014 8:50:23 PM  
**Subject:** LULUCF update

Sara:

Just wanted to give you a heads up that

**Ex. 5 - Deliberative**

# **Ex. 5 - Deliberative**

Maurice

Maurice N. LeFranc, Jr.

Senior Advisor for International Climate Change

Office of Air and Radiation

U.S. Environmental Protection Agency

Office Phone: 202-564-1813

Mobile: 202-450-7863

**To:** Fawcett, Allen[Fawcett.Allen@epa.gov]  
**From:** LeFranc, Maurice  
**Sent:** Fri 9/5/2014 5:04:29 PM  
**Subject:** RE: Materials on post-2020

I think it got cut back last night with the intent to keep it small. May also be only people with clearance? I wasn't involved in this.

**From:** Fawcett, Allen  
**Sent:** Friday, September 05, 2014 1:02 PM  
**To:** LeFranc, Maurice  
**Subject:** RE: Materials on post-2020

Looks like I'm not on the invite for the invite for the pre-brief with Gina, would it be useful for me to be there, or better to keep it small?

**From:** LeFranc, Maurice  
**Sent:** Friday, September 05, 2014 12:35 PM  
**To:** Fawcett, Allen; Gunning, Paul  
**Subject:** RE: Materials on post-2020

Thanks – we probably won't provide materials in advance of Monday pre-brief since the Administrator is on travel. So may simply have something in hand for Joe to use.

**From:** Fawcett, Allen  
**Sent:** Friday, September 05, 2014 10:59 AM  
**To:** LeFranc, Maurice; Gunning, Paul  
**Subject:** RE: Materials on post-2020

Here's what I have from Bryan.

**Ex. 5 - Deliberative**

**Ex. 5 - Deliberative**

**From:** Fawcett, Allen <[Fawcett.Allen@epa.gov](mailto:Fawcett.Allen@epa.gov)>

**Sent:** Friday, August 29, 2014 4:10 PM

**To:** Paul Gunning

**Subject:** DOE post-2020 estimates

Paul,

Bryan sent along the files detailing the post-2020 numbers Rick walked through the other day.

# Ex. 5 - Deliberative

Allen

# Ex. 5 - Deliberative

**From:** LeFranc, Maurice  
**Sent:** Friday, September 05, 2014 10:52 AM  
**To:** Fawcett, Allen; Gunning, Paul  
**Subject:** Materials on post-2020

It seems we may not get anything on paper from today's meeting that we can use for pre-brief discussion with Gina. Do you have anything recent that would summarize the last discussions at the WH? I know they took back the last briefing package but wanted to check on what you have. I am looking as well.

Otherwise, we will need to take good notes today.

Maurice N. LeFranc, Jr.

Senior Advisor for International Climate Change

Office of Air and Radiation

U.S. Environmental Protection Agency

Office Phone: 202-564-1813

Mobile: 202-450-7863

**To:** Ulman, Christie [mailto: ] **Ex. 6 - Privacy**  
**From:** LeFranc, Maurice  
**Sent:** Tue 9/2/2014 2:47:14 PM  
**Subject:** RE: Series of post-2020 meetings this week

If you are looking for reaction in the meeting we would need to have a chance to have an internal discussion and reaction. Perhaps it is something that is circulated on the classified system? Which raises a related question – should Friday be a classified discussion requiring clearance?

**From:** Ulman, Christie [mailto: ] **Ex. 6 - Privacy**  
**Sent:** Tuesday, September 02, 2014 10:35 AM  
**To:** LeFranc, Maurice; Sierawski, Clare S; Hultman, Nathan; 'ArtusioCF@state.gov'  
**Subject:** RE: Series of post-2020 meetings this week

Thanks, Maurice. Good point re reactions during meeting. We'll discuss internally and at least let folks know what we're thinking. Thanks.

**From:** LeFranc, Maurice [mailto:LeFranc.Maurice@epa.gov]  
**Sent:** Tuesday, September 02, 2014 10:27 AM  
**To:** Ulman, Christie; Sierawski, Clare S; Hultman, Nathan; 'ArtusioCF@state.gov'  
**Subject:** RE: Series of post-2020 meetings this week

Thanks Christie. I believe Joe and I will attend for sure. Will sort out on our end whether Sarah Dunham will come instead of Allen – will let you know.

The only value to having a read ahead is if the form and specific numbers for post-2020 are being thrown out and a reaction is expected during the meeting.

**From:** Ulman, Christie [mailto: ] **Ex. 6 - Privacy**  
**Sent:** Tuesday, September 02, 2014 10:15 AM  
**To:** LeFranc, Maurice; Sierawski, Clare S; Hultman, Nathan; 'ArtusioCF@state.gov'  
**Subject:** RE: Series of post-2020 meetings this week

Hi Maurice,

No problem on early morning questions – summer is unofficially over ;(.

For the agencies who have been playing a leading role in the process we can accommodate more folks. We are trying to limit it to Deputies or Deputies +1 from other agencies. Right now I have Joe Goffman, you, and Allen Fawcett coming from EPA; Janet was also invited but can't make it. Please let me know if this is OK or if you feel like others need to come. We'll have to see what room we get and then I can get back to you, but I'm sure we can be flexible enough to get the right EPA folks in the room.

I don't think we'll send anything out ahead of time. Most folks in this meeting have seen an iteration of the deck we'll present and we probably don't want to be emailing copies around. Let me know if there are any issues with that.

Thanks!

Christie

**From:** LeFranc, Maurice [<mailto:LeFranc.Maurice@epa.gov>]  
**Sent:** Tuesday, September 02, 2014 9:28 AM  
**To:** Sierawski, Clare S; Ulman, Christie; Hultman, Nathan; 'ArtusioCF@state.gov'  
**Subject:** Series of post-2020 meetings this week

Good morning. We may have some changes or additions to the meeting invites for this week and will get them to you as soon as I can connect here this morning.

Primarily, can we clarify who and how many you are looking for at the Deputies meeting this coming Friday? Is it deputy plus 1 or 2. Or a broader group? Based on my conversation with

Christo this past Friday it seems it would be a somewhat closed meeting. Please let me know so we can get the right people there.

Also, will there be any advance materials for the Friday discussion?

(Sorry for all the early morning questions).

Maurice N. LeFranc, Jr.

Senior Advisor for International Climate Change

Office of Air and Radiation

U.S. Environmental Protection Agency

Office Phone: 202-564-1813

Mobile: 202-450-7863



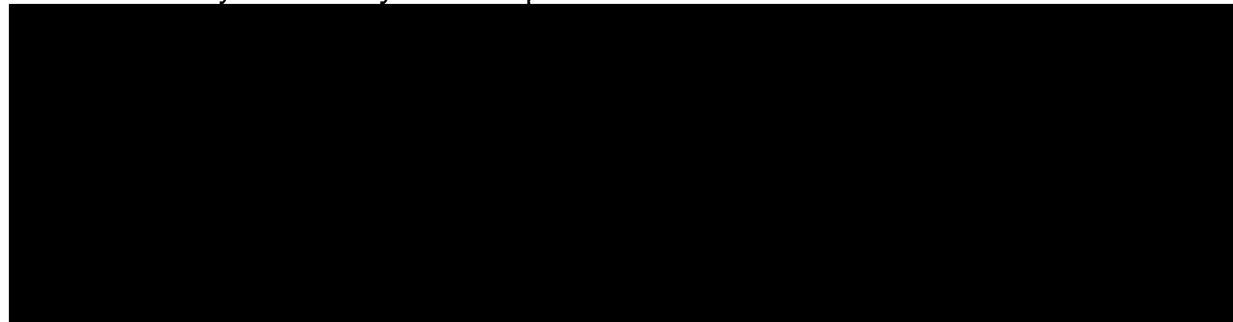
**To:** Gallagher, Kelly[Ex. 6 - Privacy]; Sierawski, Clare S (SierawskiCS@state.gov)[SierawskiCS@state.gov]; Trevor Houser (tghouser@rhg.com)[tghouser@rhg.com]; Duke, Rick[Ex. 6 - Privacy]; Ulman, Christie[Ex. 6 - Privacy]; Hultman, Nathan[Ex. 6 - Privacy]; Bodnar, Paul[Ex. 6 - Privacy]; David Vance Wagner (WagnerDV2@state.gov)[WagnerDV2@state.gov]; Schuler, Reed M[SchulerRM@state.gov]; 'Pershing, Jonathan'[Jonathan.Pershing@Hq.Doe.Gov]; Luke Bassett (Luke.Bassett@Hq.Doe.Gov) (Luke.Bassett@Hq.Doe.Gov)[Luke.Bassett@Hq.Doe.Gov]; 'Jim Fores' (Jim.Fores@hq.doe.gov)[Jim.Fores@hq.doe.gov]; 'Talley, Trigg'[TalleyT@state.gov]; Fawcett, Allen[Fawcett.Allen@epa.gov]  
**Cc:** 'Artusio, Christo F'[ArtusioCF@state.gov]; 'Reifsnyder, Daniel A'[ReifsnyderDA@state.gov]; 'Wolsey, Yekaterina Y'[WolseyYY@state.gov]  
**From:** LeFranc, Maurice  
**Sent:** Thur 8/21/2014 7:19:14 PM  
**Subject:** Re: China post-2020 mtg

Kelly:

Thanks for sharing. We looked it over and have no changes. The meeting time is being held on Joe Goffman's calendar. let us know if there are any changes and details when available.

Maurice

Sent from my BlackBerry 10 smartphone on the Verizon Wireless 4G LTE network.



Hi all,

As a follow-up to our China post-2020 meeting today, attached is a draft email for me to send to Zou Ji tomorrow. It includes the list of questions that we want to ask the Chinese to address in the DVC and beyond.

Please let me know if you have any edits, questions, or concerns.

Best,  
Kelly

**To:** Fawcett, Allen[Fawcett.Allen@epa.gov]  
**Cc:** Gunning, Paul[Gunning.Paul@epa.gov]; Kocchi, Suzanne[Kocchi.Suzanne@epa.gov]  
**From:** LeFranc, Maurice  
**Sent:** Mon 8/18/2014 7:32:03 PM  
**Subject:** RE: China Post-2020 White Paper

Marlene put them in reading folders for tonight for Janet and Joe.

**From:** Fawcett, Allen  
**Sent:** Monday, August 18, 2014 3:16 PM  
**To:** LeFranc, Maurice  
**Cc:** Gunning, Paul; Kocchi, Suzanne  
**Subject:** RE: China Post-2020 White Paper

Sounds good. The current drafts are attached, and a cover note is below (feel free to edit). Did you want to go ahead and send to Janet?

Thanks,

Allen

As we discussed at our meeting on post-2020 this morning, attached are the China post-2020 white papers that Allen has been developing for State Department with PNNL. These are meant

**Ex. 5 - Deliberative**

# Ex. 5 - Deliberative

**From:** LeFranc, Maurice  
**Sent:** Monday, August 18, 2014 2:57 PM  
**To:** Fawcett, Allen  
**Cc:** Gunning, Paul; Kocchi, Suzanne  
**Subject:** RE: China Post-2020 White Paper

I would suggest you send now rather than wait. Ex. 6 - Privacy and would probably not look at any of this. So if you have the cover note and papers (attached to your email?) we can get them into her reading file.

**From:** Fawcett, Allen  
**Sent:** Monday, August 18, 2014 2:54 PM  
**To:** LeFranc, Maurice  
**Cc:** Gunning, Paul; Kocchi, Suzanne  
**Subject:** China Post-2020 White Paper

So we just had a call with PNNL and State Department on the China white paper, and since the

**Ex. 5 - Deliberative**

**Ex. 5 - Deliberative**

I've written a few bullets on the white papers and the process below, and attached the current review draft. Let me know if you think it's better to circulate this version, or wait for the clean draft next Monday.

Allen

**Ex. 5 - Deliberative**

**To:** Simon, Karl[Simon.Karl@epa.gov]; Lie, Sharyn[Lie.Sharyn@epa.gov]; Hengst, Benjamin[Hengst.Benjamin@epa.gov]  
**From:** LeFranc, Maurice  
**Sent:** Mon 8/18/2014 4:33:10 PM  
**Subject:** CEQ Conference call today

Karl:

We spoke to Janet a short while ago about the post-2020 process (commitment under the UNFCCC). She mentioned she had spoken to you and Chris about the requests coming in from CEQ.

Based on these discussions with Janet, will you be prepared for this planned call this afternoon? Please let me know. Allen Fawcett and I will be on the line to cover the broader post-2020 process.

Thank you.

Maurice

Maurice N. LeFranc, Jr.

Senior Advisor for International Climate Change

Office of Air and Radiation

U.S. Environmental Protection Agency

Office Phone: 202-564-1813

Mobile: 202-450-7863

**To:** Ulman, Christie  
**From:** LeFranc, Maurice  
**Sent:** Thur 8/14/2014 5:51:53 PM  
**Subject:** RE: long-term carbon estimates

Ex. 6 - Privacy

Thanks – appreciate it. I am going to check on this with our transportation people now.

**From:** Ulman, Christie [mailto:  
**Sent:** Thursday, August 14, 2014 1:00 PM  
**To:** LeFranc, Maurice  
**Subject:** FW: long-term carbon estimates

Ex. 6 - Privacy

Just asked Rick to plus you in on this one... so we're getting there!

**From:** Duke, Rick  
**Sent:** Thursday, August 14, 2014 12:33 PM  
**To:** 'Dunham, Sarah ([Dunham.Sarah@epa.gov](mailto:Dunham.Sarah@epa.gov))'; 'Lie.Sharyn@epa.gov'; 'Barron, Alex ([Barron.Alex@epa.gov](mailto:Barron.Alex@epa.gov))'  
**Cc:** 'goffman.joseph@epa.gov'; Ulman, Christie; Hultman, Nathan; 'Fawcett, Allen ([Fawcett.Allen@epa.gov](mailto:Fawcett.Allen@epa.gov))'; Zakaria, Rama; Wong, Jacqueline; Maurice LeFranc ([lefranc.maurice@epa.gov](mailto:lefranc.maurice@epa.gov))  
**Subject:** RE: long-term carbon estimates

Some process updates:

- Christy is going to pull together a technical call with this group at 5pm on Monday
- We will hold our first interagency technical discussion on Wednesday 8/20, time TBC.

**Ex. 5 - Deliberative**

# Ex. 5 - Deliberative

Many thanks...

**From:** Duke, Rick

**Sent:** Monday, August 11, 2014 12:59 PM

**To:** Dunham, Sarah ([Dunham.Sarah@epa.gov](mailto:Dunham.Sarah@epa.gov)); 'Lie.Sharyn@epa.gov'

**Cc:** [goffman.joseph@epa.gov](mailto:goffman.joseph@epa.gov); Barron, Alex ([Barron.Alex@epa.gov](mailto:Barron.Alex@epa.gov)); Ulman, Christie; Hultman, Nathan; Fawcett, Allen ([Fawcett.Allen@epa.gov](mailto:Fawcett.Allen@epa.gov)); Zakaria, Rama

**Subject:** long-term carbon estimates

Sarah and Sharyn,

Some technical questions as we consider our long-term carbon pollution reduction goals.

Does EPA have an updated view on the emissions reduction potential originally estimated here <http://www.epa.gov/otaq/climate/kerry-analysis-02-18-2010.pdf> in response to a request from then Sen Kerry? More specifically:



# Ex. 5 - Deliberative

The most efficient way to tackle this might be to sit down in person but I'm also reachable at

Ex. 6 - Privacy

Thanks,  
Rick

**To:** Wolfson, Steve[Wolfson.Steve@epa.gov]  
**Cc:** Kasman, Mark[Kasman.Mark@epa.gov]  
**From:** LeFranc, Maurice  
**Sent:** Tue 7/1/2014 5:16:25 PM  
**Subject:** RE: China Ideas

I sent an email to Clare but haven't heard back from her - seems she is out of the office until Thursday.

-----Original Message-----

From: Wolfson, Steve  
Sent: Monday, June 30, 2014 10:09 AM  
To: LeFranc, Maurice  
Cc: Kasman, Mark  
Subject: RE: China Ideas

Thanks, Maurice, this is very helpful. I'm attaching below Avi's Tuesday schedule from Phillip Gatins at the Embassy. I wasn't sure how to square Avi's planned topics (transportation and power sector emissions) with the description of the Tuesday morning in the schedule, so I wonder if I'm missing something or if Phillip might be operating on an older agenda. Please let me know if you think there is anything we should do on this.

Thanks,  
Steve

Tuesday, July 8

9:00 – 16:30 Climate Policy Dialogue

Location: NCSC Offices  
Interpretation: Provided by NDRC  
Agenda:

09:00 - 12:00 Technical Exchange on Climate Policies and Actions (Proposed)

US Participants:  
J. Pershing, Dan Utech, Avi Garbow, Trevor Houser, Kelly Gallagher, Vance Wagner

China Participants: TBD

# Ex. 5 - Deliberative

## Ex. 5 - Deliberative

12:00 - 13:00 Lunch

13:00 - 16:30pm – Policy Dialogue, including post-2020 contributions

Proposed Agenda : Each side will give a summary; Jonathan Pershing will give this summary for the U.S. and SECC Stern and VC Xie will then discuss issues regarding post-2020 contributions

17:00 CCWG Accomplishments Event

Location: Science and Technology Conference Hall

US Participants: John Podesta, Todd Stern, Julio Freidman, Lee Zak

Chinese Participants: NDRC VC Xie Zhenhua, NDRC DG Su Wei

Interpretation: TBD

NDRC Proposed Agenda:

Moderated by Director General Su Wei, Department of Climate Change, NDRC

17:00-17:10 Opening Remarks:

Vice Chairman Xie Zhenhua of NDRC  
Todd Stern  
Director Lee Zak of USTDA

17:10-17:25 Signing Ceremony

- Collaboration of Clean Coal Power Generation Technology by Huaneng Clean Energy Research Institute and Summit Power Group LLC
- Northern Shaanxi Industrialized Demonstration of Ultra-Cleaning Technology for China-US Fossil Energy by Yanchang Petroleum Corp. Ltd and West Virginia University
- 1 Million tons/year CCS-EOR project from Shengli Coal-fired Power Plant Flue Gas by Shengli Oilfield Company of Sinopec Corporation and University of Kentucky
- The Project Feasibility Study of 350MW Oxy-fuel Combustion Power Generation and CCUS by Shanxi International Energy Group and its U.S. partner
- HFC Emission Reduction Project by Guangzhou Midea Hualing Refrigerator Co., Ltd. and U.S. Trade and Development Agency
- Green Data Center Energy Efficiency Project by The Chinese Institute of Electronics and U.S. Trade and Development Agency
- Cement Production De-NOx Technologies Feasibility Study and Pilot Project by Quzhai Cement Company and U.S. Trade and Development Agency

- International Low Impact development Study on cities by Tsinghua University and the Low Impact Development Center (TBD)

17:25-17:30 Group Photo

19:00 Energy and Climate Strategy Dinner / Reception

Location: TBD

Proposed US Participants

U/S Novelli  
A/S Moniz  
Ambassador Pascual  
A/S Elkind  
DAS Dan Reifsnnyder  
USTDA Director Lee Zak  
EPA General Counsel Avi Garbow  
OES A/S Judy Garber  
DOE DAS Jonathan Pershing  
Moniz (small possibility)  
Julio Friedman  
Special Advisor Dan Utech  
Clare Sierawski  
Alan Yu  
Mark Kasman  
Bob Ivy  
Erica Thomas

Proposed Expert Participants:

Qi Ye	Brookings – Tsinghua Center
Zou Ji	NCSC
Jiang Kejun	ERI
Ma Jun	IPE
Barbara Finamore	NRDC
Mona Yew	NRDC
Yang Yufeng	ERI
Zhou Dadi	former ERI
Feng Liwen	China 5e
Liu Qian	CASS
Hu Zhaoguang	State Grid Energy Research Institute
Dan Dudek	Environmental Defense Fund
Zhang Jianyu	Environmental Defense Fund
Professor Ran Ran	Renmin University
Wang Wanxing	Energy Foundation – power sector
RON JW Marriott	

Thanks

-----Original Message-----

From: LeFranc, Maurice

Sent: Monday, June 30, 2014 9:17 AM

To: Garbow, Avi; Wolfson, Steve; Schramm, Daniel

Subject: FW: China Ideas

Here is some background on **Ex. 5 - Deliberative** with the Chinese. This is just background information - Todd Stern, State and John Podesta, WH will carry the water on this in China.

-----Original Message-----

From: Newberg, Cindy

Sent: Friday, June 27, 2014 6:31 AM

To: Krieger, Jackie; Hufford, Drusilla; LeFranc, Maurice

Subject: Fw: China Ideas

---

From: Thompson, John E <ThompsonJE2@state.gov>

Sent: Thursday, June 26, 2014 9:39:29 PM

To: Sierawski, Clare S

Cc: Dunham, Sarah; Newberg, Cindy; Reifsnnyder, Daniel A; Biniaz, Susan N; Goffman, Joseph

Subject: China Ideas

Clare,

**Ex. 5 - Deliberative**

# **Ex. 5 - Deliberative**

**To:** Sierawski, Clare S[SierawskiCS@state.gov]  
**From:** LeFranc, Maurice  
**Sent:** Mon 6/30/2014 2:42:58 PM  
**Subject:** FW: China Ideas

Clare:

See email below. Seems that either we got our wires crossed or the embassy is using the old agenda for the July 8 morning meeting. The only thing Avi will discuss is power plants and transportation. He will not venture into how this would be used in the modeling - JP could cover that.

Maurice

-----Original Message-----

From: Wolfson, Steve  
Sent: Monday, June 30, 2014 10:09 AM  
To: LeFranc, Maurice  
Cc: Kasman, Mark  
Subject: RE: China Ideas

Thanks, Maurice, this is very helpful. I'm attaching below Avi's Tuesday schedule from Phillip Gatins at the Embassy. I wasn't sure how to square Avi's planned topics (transportation and power sector emissions) with the description of the Tuesday morning in the schedule, so I wonder if I'm missing something or if Phillip might be operating on an older agenda. Please let me know if you think there is anything we should do on this.

Thanks,  
Steve

Tuesday, July 8

9:00 – 16:30 Climate Policy Dialogue

Location: NCSC Offices  
Interpretation: Provided by NDRC  
Agenda:

09:00 - 12:00 Technical Exchange on Climate Policies and Actions (Proposed)

US Participants:

J. Pershing, Dan Utech, Avi Garbow, Trevor Houser, Kelly Gallagher, Vance Wagner

China Participants: TBD

# Ex. 5 - Deliberative

# Ex. 5 - Deliberative

12:00 - 13:00 Lunch

13:00 - 16:30pm – Policy Dialogue, including post-2020 contributions

Proposed Agenda : Each side will give a summary; Jonathan Pershing will give this summary for the U.S. and SECC Stern and VC Xie will then discuss issues regarding post-2020 contributions

17:00 CCWG Accomplishments Event

Location: Science and Technology Conference Hall

US Participants: John Podesta, Todd Stern, Julio Freidman, Lee Zak

Chinese Participants: NDRC VC Xie Zhenhua, NDRC DG Su Wei

Interpretation: TBD

NDRC Proposed Agenda:

Moderated by Director General Su Wei, Department of Climate Change, NDRC

17:00-17:10 Opening Remarks:

Vice Chairman Xie Zhenhua of NDRC  
Todd Stern  
Director Lee Zak of USTDA

17:10-17:25 Signing Ceremony

- Collaboration of Clean Coal Power Generation Technology by Huaneng Clean Energy Research Institute and Summit Power Group LLC
- Northern Shaanxi Industrialized Demonstration of Ultra-Cleaning Technology for China-US Fossil Energy by Yanchang Petroleum Corp. Ltd and West Virginia University
- 1 Million tons/year CCS-EOR project from Shengli Coal-fired Power Plant Flue Gas by Shengli Oilfield Company of Sinopec Corporation and University of Kentucky
- The Project Feasibility Study of 350MW Oxy-fuel Combustion Power Generation and CCUS by Shanxi International Energy Group and its U.S. partner
- HFC Emission Reduction Project by Guangzhou Midea Hualing Refrigerator Co., Ltd. and U.S. Trade and Development Agency
- Green Data Center Energy Efficiency Project by The Chinese Institute of Electronics and U.S.



Trade and Development Agency

- Cement Production De-NOx Technologies Feasibility Study and Pilot Project by Quzhai Cement Company and U.S. Trade and Development Agency
- International Low Impact development Study on cities by Tsinghua University and the Low Impact Development Center (TBD)

17:25-17:30 Group Photo

19:00 Energy and Climate Strategy Dinner / Reception

Location: TBD

Proposed US Participants

U/S Novelli  
A/S Moniz  
Ambassador Pascual  
A/S Elkind  
DAS Dan Reifsnnyder  
USTDA Director Lee Zak  
EPA General Counsel Avi Garbow  
OES A/S Judy Garber  
DOE DAS Jonathan Pershing  
Moniz (small possibility)  
Julio Friedman  
Special Advisor Dan Utech  
Clare Sierawski  
Alan Yu  
Mark Kasman  
Bob Ivy  
Erica Thomas

Proposed Expert Participants:

Qi Ye	Brookings – Tsinghua Center
Zou Ji	NCSC
Jiang Kejun	ERI
Ma Jun	IPE
Barbara Finamore	NRDC
Mona Yew	NRDC
Yang Yufeng	ERI
Zhou Dadi	former ERI
Feng Liwen	China 5e
Liu Qian	CASS
Hu Zhaoguang	State Grid Energy Research Institute
Dan Dudek	Environmental Defense Fund
Zhang Jianyu	Environmental Defense Fund
Professor Ran Ran	Renmin University
Wang Wanxing	Energy Foundation – power sector
RON JW Marriott	

Thanks

-----Original Message-----

From: LeFranc, Maurice  
Sent: Monday, June 30, 2014 9:17 AM  
To: Garbow, Avi; Wolfson, Steve; Schramm, Daniel  
Subject: FW: China Ideas

Here is some background on possible HFC discussion with the Chinese. This is just background information - Todd Stern, State and John Podesta, WH will carry the water on this in China.

-----Original Message-----

From: Newberg, Cindy  
Sent: Friday, June 27, 2014 6:31 AM  
To: Krieger, Jackie; Hufford, Drusilla; LeFranc, Maurice  
Subject: Fw: China Ideas

---

From: Thompson, John E <ThompsonJE2@state.gov>  
Sent: Thursday, June 26, 2014 9:39:29 PM  
To: Sierawski, Clare S  
Cc: Dunham, Sarah; Newberg, Cindy; Reifsnyder, Daniel A; Biniaz, Susan N; Goffman, Joseph  
Subject: China Ideas

Clare,

# Ex. 5 - Deliberative

# **Ex. 5 - Deliberative**

**To:** McCabe, Janet[McCabe.Janet@epa.gov]  
**From:** LeFranc, Maurice  
**Sent:** Sat 6/21/2014 2:26:12 AM  
**Subject:** Re: For your clearance

The papers were fine and I did clear. Have a good weekend home. Hope you get a chance to relax some.

Sent from my BlackBerry 10 smartphone on the Verizon Wireless 4G LTE network.



Thanks, Maurice--sorry I didn't have a chance to look at the documents until now....Assume you cleared.

---

**From:** LeFranc, Maurice  
**Sent:** Friday, June 20, 2014 8:59 AM  
**To:** McCabe, Janet; Goffman, Joseph  
**Subject:** FW: For your clearance

Attached are two documents that need clearance today – they both look fine to me and should be cleared. Read when you have time.

They are both in support of Sec. Kerry's involvement in the climate change sessions in the upcoming S&ED. The only new piece of information in these two documents is a

## Ex. 5 - Deliberative

In spite of Clare asking me not to share them, it is important that you are aware of the push from State on the Chinese in these meetings.

**From:** Sierawski, Clare S [mailto:SierawskiCS@state.gov]  
**Sent:** Thursday, June 19, 2014 11:18 PM  
**To:** Maria DiGiulian (Maria.DiGiulian@Hq.Doe.Gov); LeFranc, Maurice; Gallagher, Kelly

**Subject:** For your clearance

Dear Maria, Maurice and Kelly,

Attached are two close-hold documents for your clearance. Please do not forward/share them (I would have sent them to you on the high side if that was possible/convenient☺). If you could please clear by 3pm Friday (tomorrow), that would be much appreciated. Apologies for the flash clearance (EAP didn't give us much time).

Thank you!

Clare

Clare Sierawski

Senior Climate Change Adviser

U.S. Department of State

202-647-9816

**To:** Sierawski, Clare S[SierawskiCS@state.gov]  
**From:** LeFranc, Maurice  
**Sent:** Fri 6/20/2014 6:37:00 PM  
**Subject:** RE: For your clearance

Thanks Clare. Appreciate it and is close hold.

**From:** Sierawski, Clare S [mailto:SierawskiCS@state.gov]  
**Sent:** Friday, June 20, 2014 1:03 PM  
**To:** LeFranc, Maurice; Maria DiGiulian (Maria.DiGiulian@Hq.Doe.Gov); Gallagher, Kelly  
**Subject:** RE: For your clearance

Maurice – as you might guess, that information is extremely close hold so please do not share it with anyone at this point (I definitely wanted to keep you in the loop though!). Thank you!

**From:** LeFranc, Maurice [mailto:LeFranc.Maurice@epa.gov]  
**Sent:** Friday, June 20, 2014 10:52 AM  
**To:** Sierawski, Clare S; Maria DiGiulian (Maria.DiGiulian@Hq.Doe.Gov); Gallagher, Kelly  
**Subject:** RE: For your clearance

Clare:

We clear on this –

Ex. 5 - Deliberative

**Ex. 5 - Deliberative**

Thanks for sharing.

Maurice

**From:** Sierawski, Clare S [mailto:SierawskiCS@state.gov]  
**Sent:** Thursday, June 19, 2014 11:18 PM  
**To:** Maria DiGiulian (Maria.DiGiulian@Hq.Doe.Gov); LeFranc, Maurice; Gallagher, Kelly

**Subject:** For your clearance

Dear Maria, Maurice and Kelly,

Attached are two close-hold documents for your clearance. Please do not forward/share them (I would have sent them to you on the high side if that was possible/convenient☺). If you could please clear by 3pm Friday (tomorrow), that would be much appreciated. Apologies for the flash clearance (EAP didn't give us much time).

Thank you!

Clare

Clare Sierawski

Senior Climate Change Adviser

U.S. Department of State

202-647-9816

**To:** Hultman, Nathan; **Ex. 6 - Privacy**  
**From:** LeFranc, Maurice  
**Sent:** Tue 6/17/2014 5:18:16 PM  
**Subject:** RE: Ecofys

Nate:

I am trying to get some clarity here on engaging in this and who is best suited at EPA. Will let you know shortly. One point to keep in mind is that Ecofys is not the only group that will be examining our Clean Power Plan or our post-2020 announcement so we should have a fuller strategy in mind.

Will get back to you shortly.

Maurice

-----Original Message-----  
**From:** Hultman, Nathan [mailto:]; **Ex. 6 - Privacy**  
**Sent:** Tuesday, June 17, 2014 9:21 AM  
**To:** LeFranc, Maurice  
**Subject:** FW: Ecofys

Maurice - Might you have some time to discuss via phone today? I am pretty flexible on times so if you give me a few we should be able to find something that works.

Nate

-----Original Message-----  
**From:** Hultman, Nathan  
**Sent:** Tuesday, June 17, 2014 9:19 AM  
**To:** Duke, Rick; Talley, Trigg; 'LeFranc.Maurice@epa.gov'; Zakaria, Rama  
**Cc:** Artusio, Christo F  
**Subject:** RE: Ecofys

Yes, I've been looking at that study as well and I agree that

**Ex. 5 - Deliberative**

# Ex. 5 - Deliberative

Maurice and I can connect to figure out how to proceed.

Nate

-----Original Message-----  
**From:** Duke, Rick  
**Sent:** Monday, June 16, 2014 9:47 PM  
**To:** Talley, Trigg; 'LeFranc.Maurice@epa.gov'; Hultman, Nathan; Zakaria, Rama  
**Cc:** Artusio, Christo F  
**Subject:** RE: Ecofys

+ Nate and Rama

Nate: can you run this to ground? Would be good for you to connect directly with Maurice to discuss.



Thanks,  
Rick

-----Original Message-----

From: Talley, Trigg [mailto:TalleyT@state.gov]

Sent: Monday, June 16, 2014 2:45 AM

To: Duke, Rick; 'LeFranc.Maurice@epa.gov'

Cc: Artusio, Christo F

Subject: Ecofys

I talked to Bill Hare of PIK, which is involved in the modeling

**Ex. 5 - Deliberative**

# Ex. 5 - Deliberative

**To:** Evarts, Dale[Evarts.Dale@epa.gov]; Berns, Anne[Berns.Anne@epa.gov]  
**Cc:** Krieger, Jackie[Krieger.Jackie@epa.gov]; Drinkard, Andrea[Drinkard.Andrea@epa.gov]  
**From:** LeFranc, Maurice  
**Sent:** Mon 6/16/2014 2:06:30 PM  
**Subject:** FW: S&ED climate docs  
[Revised Proposal for One Day Meeting - Joint Collaboration on Post-2020 Plans 2.docx](#)  
[To Share Draft Joint Session 2014-05-28.docx](#)

Dale/Anne:

Here is the email that outlines the session on climate the day before the S&ED. I apologize if you have not already seen this. I'll follow up with each of you shortly.

Obviously, OAR will need to prepare materials for Avi and Mark on the agenda topics outlined in the attachment above.

Maurice

**From:** Sierawski, Clare S [mailto:SierawskiCS@state.gov]  
**Sent:** Tuesday, June 03, 2014 5:58 PM  
**To:** Kasman, Mark; LeFranc, Maurice  
**Subject:** S&ED climate docs

Hi Mark and Maurice,

It was great to see you today! Attached are the latest documents for the July 8<sup>th</sup> meeting and the latest proposal I have for the joint S and E track session on climate. Please let me know if you have any questions.

Thank you!

Clare

Clare Sierawski

Senior Climate Change Adviser

U.S. Department of State

202-647-9816

**To:** Kasman, Mark[Kasman.Mark@epa.gov]  
**From:** LeFranc, Maurice  
**Sent:** Wed 6/4/2014 1:32:45 PM  
**Subject:** FW: S&ED climate docs  
Revised Proposal for One Day Meeting - Joint Collaboration on Post-2020 Plans 2.docx  
To Share Draft Joint Session 2014-05-28.docx

Mark:

I am here today and then on travel starting tomorrow evening and not returning until the 16<sup>th</sup>. We should discuss how to best prepare Avi (and you) for these sessions as laid out in Clare's note. Most of this is available but it will take some time to pull together.

Maurice

**From:** Sierawski, Clare S [mailto:SierawskiCS@state.gov]  
**Sent:** Tuesday, June 03, 2014 5:58 PM  
**To:** Kasman, Mark; LeFranc, Maurice  
**Subject:** S&ED climate docs

Hi Mark and Maurice,

It was great to see you today! Attached are the latest documents for the July 8<sup>th</sup> meeting and the latest proposal I have for the joint S and E track session on climate. Please let me know if you have any questions.

Thank you!

Clare

Clare Sierawski

Senior Climate Change Adviser

U.S. Department of State

202-647-9816

**To:** Fawcett, Allen[Fawcett.Allen@epa.gov]  
**From:** LeFranc, Maurice  
**Sent:** Mon 6/2/2014 5:15:25 PM  
**Subject:** FW: Any decision on the July 8th Climate discussion with NDRC?  
To share Revised Proposal for Enhanced Policy Dialogue.docx

Allen:

See email below from Clare regarding the possible July 8<sup>th</sup> bilateral in Beijing. I am still not at all convinced that it is worth the time to travel to Beijing for a three-hour meeting. Most of what State wants to accomplish could be covered by them – or by the senior EPA person who will already be on the ground for the S&ED. This doesn't address the modeling meeting but I still don't see the value in a three-hour meeting with your counterparts.

Maurice

**From:** Sierawski, Clare S [mailto:SierawskiCS@state.gov]  
**Sent:** Monday, June 02, 2014 1:00 PM  
**To:** LeFranc, Maurice  
**Subject:** RE: Any decision on the July 8th Climate discussion with NDRC?

Hey Maurice! I talked with Todd about this this morning, and we just sent off the attached revised proposal to the Chinese. We hadn't heard back from them, but we had heard informally that they only wanted a half-day session and that, if we brought government officials, they would only offer non-governmental experts. Given all of this, our goals, and our desire to move things forward, we stripped it back to a half day for Todd and Xie, with a modeler exchange in the morning. Bottom line – if we can get agreement on the modeler exchange, we would go back to our original proposal where you and Allen would come from EPA (Allen for the AM and you for the PM). Would that work? Hopefully we can get clarity from the Chinese soon!

**From:** LeFranc, Maurice [mailto:LeFranc.Maurice@epa.gov]  
**Sent:** Monday, June 02, 2014 12:03 PM  
**To:** Sierawski, Clare S  
**Subject:** Any decision on the July 8th Climate discussion with NDRC?

Hi Clare.

I just need to know so I can coordinate within EPA on this. I don't want to get people preparing materials if they are not necessary.

Maurice

Maurice N. LeFranc, Jr.

Senior Advisor for International Climate Change

Office of Air and Radiation

U.S. Environmental Protection Agency

Office Phone: 202-564-1813

Mobile: 202-450-7863

**To:** Ketcham-Colwill, Jim[Ketcham-Colwill.Jim@epa.gov]  
**From:** LeFranc, Maurice  
**Sent:** Mon 6/2/2014 1:36:35 PM  
**Subject:** RE: time to talk?

Jim:

Thanks for sharing this. I think it could be helpful – but a bit unsure in what context. Would EPA or State be defending the power plant rule by explaining what others are doing (either how much or how little) or that we are not taking action alone?

I know State has been asking for our help (which I don't think we have closed on) to answer some questions about the rule and our UNFCCC commitments post-2020 as well as relation to the 2 degree target. I believe we don't want to get too involved in this discussion at the UNFCCC happening this week but that is their interest.

I would also note that the list of actions included does not qualify any of those actions of whether and how they are being implemented – or how effectively. Two examples are: Germany which has had to figure out how to address energy needs in light of the withdrawal from use of nuclear and Australia which has taken a less forward approach to climate. So for Australia, in spite of having policies on paper is the current government actually implementing any of these policies?

I assume you could ask someone in Trigg's office to review this but not sure if that will open a much bigger can of worms.

Sorry, not sure this is a helpful response. I don't see a problem with going forward with this – but I also don't know implications of releasing this.

Maurice



**From:** Ketcham-Colwill, Jim  
**Sent:** Friday, May 30, 2014 8:27 PM  
**To:** LeFranc, Maurice  
**Subject:** FW: time to talk?

Maurice,

Here is a nearly completed draft fact sheet on other countries' mitigation efforts (2 countries left to go). Who would need to review it before EPA could use it publicly? Would you want someone at State to see a finished draft? Also I would welcome any positive or negative reactions, and suggestions, particularly any red flags that you might see.

Jim

Jim Ketcham-Colwill

EPA Office of Air and Radiation

Office of Policy Analysis and Review

202-564-1676 (w)

Learn more about the Clean Air Act at <http://www.epa.gov/air/caa>

**From:** Ketcham-Colwill, Jim  
**Sent:** Thursday, May 22, 2014 4:23 PM  
**To:** LeFranc, Maurice  
**Subject:** time to talk?

Maurice,

I'm thinking a fact sheet listing examples of other countries' GHG mitigation policies could be

useful very soon after the 111(d) rollout, and wanted to consult you on who at EPA and elsewhere would need to review it before OAR could release it. Please give me a call when you can.

Jim

Jim Ketcham-Colwill

EPA Office of Air and Radiation

Office of Policy Analysis and Review

202-564-1676 (w)

Learn more about the Clean Air Act at <http://www.epa.gov/air/caa>

**To:** Sierawski, Clare S[sierawskics@state.gov]  
**From:** LeFranc, Maurice  
**Sent:** Fri 5/9/2014 8:26:12 PM  
**Subject:** Fw: S&ED Joint Session Proposal  
2014-05-09 SECC Redraft Joint Session on Climate Change to Share (ENR-DOE edits).docx


Clare:

I am going to have to run this by management. The changes appear to change the

## **Ex. 5 - Deliberative**

Thanks.  
Maurice

Sent from my BlackBerry 10 smartphone on the Verizon Wireless 4G LTE network.



All,

At our meeting a week ago, we came to an understanding that the joint session would be structured in two parts,

**Ex. 5 - Deliberative**

## **Ex. 5 - Deliberative**

Thank you

**Chuck Ashley**

Senior Asia Energy Officer

Bureau of Energy Resources

U.S. Department of State

Tel: 202-647-2124

BB: 202-320-0950

nas

This email is UNCLASSIFIED.

**From:** Sierawski, Clare S  
**Sent:** Wednesday, May 07, 2014 3:35 PM  
**To:** 'Maria.DiGiulian@Hq.Doe.Gov'; Ashley, Chuck; Dolan, Bridget M; White, Jennifer Hendrixson;  
**Ex. 6 - Privacy, Paul Bodnar** 'LeFranc.Maurice@epa.gov'  
**Subject:** Re: S&ED Joint Session Proposal

Per the conversation when we met, **Ex. 5 - Deliberative**  
**Ex. 5 - Deliberative** This is the approach I outlined in the mtg and we discussed. Please articulate specifically what in your mind is not reflected; I look forward to your comments.

**From:** DiGiulian, Maria [<mailto:Maria.DiGiulian@Hq.Doe.Gov>]  
**Sent:** Wednesday, May 07, 2014 03:25 PM  
**To:** Ashley, Chuck; Sierawski, Clare S; Dolan, Bridget M; White, Jennifer Hendrixson; Bodnar, Paul  
**Ex. 6 - Privacy** Maurice LeFranc ([LeFranc.Maurice@epa.gov](mailto:LeFranc.Maurice@epa.gov))  
<[LeFranc.Maurice@epa.gov](mailto:LeFranc.Maurice@epa.gov)>  
**Subject:** RE: S&ED Joint Session Proposal

Agreed. We will work with ENR on constructive changes.

**From:** Ashley, Chuck [<mailto:AshleyCH@state.gov>]  
**Sent:** Wednesday, May 07, 2014 2:41 PM  
**To:** Sierawski, Clare S; Dolan, Bridget M; White, Jennifer Hendrixson; DiGiulian, Maria; Bodnar, Paul; Maurice LeFranc ([LeFranc.Maurice@epa.gov](mailto:LeFranc.Maurice@epa.gov))  
**Subject:** RE: S&ED Joint Session Proposal

CBD0000809

Clare,

ENR cannot clear on this version. We'll come back to you with more substantive comments soon, but the main point I can share now is that this doesn't reflect the discussion we had last week.

Chuck

This email is UNCLASSIFIED.

**From:** Sierawski, Clare S  
**Sent:** Wednesday, May 07, 2014 2:01 PM  
**To:** Dolan, Bridget M; White, Jennifer Hendrixson; Maria DiGiulian ([Maria.DiGiulian@Hq.Doe.Gov](mailto:Maria.DiGiulian@Hq.Doe.Gov)); Ashley, Chuck; Bodnar, Paul; Maurice LeFranc ([LeFranc.Maurice@epa.gov](mailto:LeFranc.Maurice@epa.gov))  
**Subject:** S&ED Joint Session Proposal

Hello EAP, Maria, Chuck, Paul, and Maurice,

After the back and forth we've had and talking with Todd, attached is a proposed redraft of a joint session proposal to share with the Chinese. Please send your clearance/comments etc. to Bridget Dolan and me by COB tomorrow if at all possible.

Thank you!

Clare

Clare Sierawski

Senior Climate Change Adviser

U.S. Department of State

202-647-9816

**To:** Kasman, Mark[Kasman.Mark@epa.gov]  
**From:** LeFranc, Maurice  
**Sent:** Wed 5/7/2014 7:26:26 PM  
**Subject:** FW: S&ED Joint Session Proposal  
Redraft Joint Session on Climate Change to Share.docx

Mark:

Received this from Clare. It is for the joint S&ED session on climate. I think it looks fine. I have asked Clare to confirm that Sec. Moniz will be addressing all aspects of the President's Climate Action Plan using cleared points.

Let me know if you have any concerns before I clear back to State.

As an aside, for some reason, Amb. Pascual's staff have a problem – don't know what it is unless they are concerned that he is not part of the meeting. Oh well.

Maurice

**From:** Sierawski, Clare S [mailto:SierawskiCS@state.gov]  
**Sent:** Wednesday, May 07, 2014 2:02 PM  
**To:** Dolan, Bridget M; White, Jennifer Hendrixson; Maria DiGiulian (Maria.DiGiulian@Hq.Doe.Gov); Ashley, Chuck; Bodnar, Paul; LeFranc, Maurice  
**Subject:** S&ED Joint Session Proposal

Hello EAP, Maria, Chuck, Paul, and Maurice,

After the back and forth we've had and talking with Todd, attached is a proposed redraft of a joint session proposal to share with the Chinese. Please send your clearance/comments etc. to Bridget Dolan and me by COB tomorrow if at all possible.

Thank you!

Clare

Clare Sierawski

Senior Climate Change Adviser

U.S. Department of State

202-647-9816



**From:** LeFranc, Maurice  
**Location:** EEOB - TBD  
**Importance:** Normal  
**Subject:** FW: Post 2020 International Analytics  
**Start Date/Time:** Thur 5/15/2014 3:00:00 PM  
**End Date/Time:** Thur 5/15/2014 4:00:00 PM

First post-2020 in a while. Only about the international analysis that EPA and DOE are engaged in.

-----Original Appointment-----

**From:** Ulman, Christie [mailto:[Ex. 6 - Privacy](#)]  
**Sent:** Thursday, May 01, 2014 2:18 PM  
**To:** Ulman, Christie; Gunning, Paul; LeFranc, Maurice  
**Subject:** Post 2020 International Analytics  
**When:** Thursday, May 15, 2014 11:00 AM-12:00 PM (UTC-05:00) Eastern Time (US & Canada).  
**Where:** EEOB - TBD

Hi all,

At this meeting we'll discuss the Post 2020 international analytic plan. Nate and I will be reaching out with further details.

Thanks,  
Christie

**From:** LeFranc, Maurice  
**Location:** State Department, Room TBD  
**Importance:** Normal  
**Subject:** FW: Meeting with Chinese modelers  
**Start Date/Time:** Tue 5/27/2014 3:00:00 PM  
**End Date/Time:** Tue 5/27/2014 4:00:00 PM  
[NCSC Visit to USA Itinerary.docx](#)

See invite below. Allen and I are invited (we have been to the previous couple of meetings on this). Wanted to let you know about this in case any of you want to attend. Let me know and I will ask Clare to amend invitation.

-----Original Appointment-----

**From:** Sierawski, Clare S [<mailto:SierawskiCS@state.gov>]  
**Sent:** Thursday, April 24, 2014 8:48 AM  
**To:** Sierawski, Clare S; Rick Duke [Ex. 6 - Privacy]; Ulman, Christie; Hultman, Nathan; Vahlsing, Candace; LeFranc, Maurice; Fawcett, Allen; 'Jonathan.Pershing@hq.doe.gov' ([Jonathan.Pershing@hq.doe.gov](mailto:Jonathan.Pershing@hq.doe.gov)); Bassett, Luke; Fores, Jim; Bodnar, Paul; Schuler, Reed M; Artusio, Christo F; Talley, Trigg; Meisel, Julia S  
**Subject:** Meeting with Chinese modelers  
**When:** Tuesday, May 27, 2014 11:00 AM-12:00 PM (UTC-05:00) Eastern Time (US & Canada).  
**Where:** State Department, Room TBD

Revised time - thank you!

Dear China modeling team,

As I mentioned a few weeks ago, a delegation from NCSC (NDRC's think tank) will be coming to the U.S. to explore further U.S.-China bilateral cooperation on climate change (their itinerary is attached). They are interested in meeting with folks on our side to discuss post-2020 targets. Please let me know if this date/time works for you (I want to make sure we schedule this for a time where we can have at least one rep from WH, EPA, and DOE).

Thank you!  
Clare

**To:** Clare Sierawski[SierawskiCS@state.gov]  
**From:** LeFranc, Maurice  
**Sent:** Thur 4/3/2014 9:16:36 PM  
**Subject:** Re: China Modelling

On travel and not available.

---

**From:** Sierawski, Clare S <SierawskiCS@state.gov>  
**Sent:** Thursday, April 3, 2014 5:14:12 PM  
**To:** Pershing, Jonathan; Schuler, Reed M; Artusio, Christo F; **Ex. 6 - Privacy, Nate Hultman**  
**Ex. 6 - Privacy, Christie Ulman**; **Ex. 6 - Privacy, Rick Duke**; LeFranc, Maurice; Fawcett, Allen;  
**Ex. 6 - Privacy, Paul Bodnar**  
**Cc:** Saleh, Kareem N; 'Bassett, Luke'; Fores, Jim  
**Subject:** RE: China Modelling

Thanks JP. I think things are in train on the PNNL front (I should be able to get Dave/Trigg sign off Monday morning), but we should make sure we have agreement on/get things moving to support LBNL (in addition to discussing the issue JP raises below). Let's to another call to nail this down/make sure we're all clear on next steps. Nate put together the attached paper based on his conversations with Lynn Price recently.

Christo is leading the IPCC del in Berlin, so we need to do something in the late afternoon. Can everyone please let me know your availability for **Friday (tomorrow) after 3pm; Monday after 4pm and Tuesday after 4pm?**

Thank you!

Clare

**From:** Pershing, Jonathan [mailto:Jonathan.Pershing@Hq.Doe.Gov]  
**Sent:** Thursday, April 03, 2014 5:00 PM  
**To:** Schuler, Reed M; Sierawski, Clare S; Artusio, Christo F; **Ex. 6 - Privacy, Nate Hultman**  
**Ex. 6 - Privacy, Christie Ulman**; **Ex. 6 - Privacy, Rick Duke**; 'LeFranc.Maurice@epa.gov';  
'Fawcett.Allen@epa.gov'; **Ex. 6 - Privacy, Paul Bodnar**  
**Cc:** Saleh, Kareem N  
**Subject:** RE: China Modelling

**Ex. 5 - Deliberative**

## Ex. 5 - Deliberative

-----Original Message-----

**From:** Schuler, Reed M [SchulerRM@state.gov]

**Sent:** Thursday, April 03, 2014 04:38 PM Eastern Standard Time

**To:** Sierawski, Clare S; Artusio, Christo F; Pershing, Jonathan;

Ex. 6 - Privacy, Nate Hultman

Ex. 6 - Privacy, Christie Ulman

Ex. 6 - Privacy, Rick Duke

Ex. 6 - Privacy, Paul Bodnar

'LeFranc.Maurice@epa.gov'; 'Fawcett.Allen@epa.gov';

**Cc:** Saleh, Kareem N

**Subject:** RE: China Modelling

On the PNNL side, which will involve

Ex. 5 - Deliberative

Ex. 5 - Deliberative

I think we're looking good.

PNNL understands that

Ex. 5 - Deliberative

## Ex. 5 - Deliberative

On the timing front, PNNL says that August is doable if we start very soon. We are working with EPA to figure out how to start quickly, and we should be able to finalize our approach tomorrow. Clare, will you pin Trigg and Dave down on approving the funding when they are back in the office on Monday/Tuesday? I'll be out.

Best,

Red

This email is UNCLASSIFIED.

**From:** Sierawski, Clare S  
**Sent:** Thursday, April 03, 2014 4:01 PM  
**To:** Artusio, Christo F; 'Jonathan.Pershing@Hq.Doe.Gov'; Ex. 6 - Privacy, Nate Hultman  
Ex. 6 - Privacy, Christie Ulman; Ex. 6 - Privacy, Rick Duke; Schuler, Reed M;  
'LeFranc.Maurice@epa.gov'; 'Fawcett.Allen@epa.gov'; Ex. 6 - Privacy, Paul Bodnar  
**Cc:** Saleh, Kareem N  
**Subject:** China Modelling  
**Importance:** High

Hi Team China Modelling,

I just finally got a chance to run this all by Todd. He likes the idea of moving forward with PNNL and LBNL in addition to Trevor (and the idea of having US-China modeler-to-modeler exchanges to help with alignment of baseline assumptions etc.). His two main concerns:

**Ex. 5 - Deliberative**

## **Ex. 5 - Deliberative**

Does this synch with conversations with PNNL/LBNL and what/when they can deliver? What do we need to do to make sure this is in train and on the right track?

Thank you!

Clare

**To:** Vahlsing, Candace  
**From:** LeFranc, Maurice  
**Sent:** Thur 3/27/2014 9:15:36 PM  
**Subject:** LULUCF Accounting

Ex. 6 - Privacy

Candace:

I am wrapping up work here and prepping for trip next week so not sure how my day tomorrow will shake out. A very quick update.

I met with the EPA team yesterday. We will pursue the modeling work that we have described during the past several months in that it has value-added for the USG

Ex. 5 - Deliberative

# Ex. 5 - Deliberative

So for moving forward, we are waiting to hear back from Bill Hohenstein as to their interest in our modeling work. As I said in the last meeting, we (and you) need to hear whether they want to fully engage and make this a sound USG model, whether they are agnostic so we can proceed, or whether they will actively block us from proceeding.

I am on travel all next week. We would be happy to meet with you and Rick to lay out our plans. We are happy to meet with the full team to identify next steps.

Lastly, it really seems to me that there is no longer a EPA/USFS-led process on the LULUCF accounting which is fine with me. But I think we need to be clear to everyone that the process has changed and how. I am happy to stay engaged in this in any capacity that would be helpful to you and Rick. We should also discuss this.

Try me tomorrow if you have time. Otherwise I will have access to email next week.

Maurice

Maurice N. LeFranc, Jr.

Senior Advisor for International Climate Change

Office of Air and Radiation

U.S. Environmental Protection Agency

Office Phone: 202-564-1813

Mobile: 202-450-7863



**To:** Vahlsing, Candace [Ex. 6 - Privacy]  
**From:** LeFranc, Maurice  
**Sent:** Mon 3/10/2014 12:50:20 AM  
**Subject:** Re: Post 2020

Hi. I am at State from about 11:30-2:00 but around otherwise.

---

**From:** Vahlsing, Candace [Ex. 6 - Privacy]  
**Sent:** Sunday, March 9, 2014 3:37:38 PM  
**To:** LeFranc, Maurice  
**Subject:** Re: Post 2020

Are you available to chat about LULUCF stuff on Monday?

**From:** LeFranc, Maurice [mailto:LeFranc.Maurice@epa.gov]  
**Sent:** Thursday, March 06, 2014 03:32 PM Eastern Standard Time  
**To:** Vahlsing, Candace  
**Subject:** RE: Post 2020

Candace:

Hope you are well. Will there be a call in number for this meeting? Not a big deal if there isn't. Thanks.

Maurice

-----Original Appointment-----

**From:** Vahlsing, Candace [mailto: [Ex. 6 - Privacy]  
**Sent:** Wednesday, February 26, 2014 7:56 PM  
**To:** Vahlsing, Candace; Utech, Dan G.; Duke, Rick; Stern, Todd D (S/SECC); Patron, Michelle; Bodnar, Paul; Stock, Jim; Minsk, Ron; Ulman, Christie; Trigg Talley (OES) (talleyt@state.gov) (talleyt@state.gov); Christo Artusio (ArtusioCF@state.gov) (ArtusioCF@state.gov); Johathan Pershing (jonathan.pershing@hq.doe.gov); Greenwald, Judith (Judith.Greenwald@Hq.Doe.Gov); Mignone, Bryan (Bryan.Mignone@hq.doe.gov); Larsen, John (John.Larsen@Hq.Doe.Gov); McCabe, Janet; Goffman, Joseph; LeFranc, Maurice; Dunham, Sarah; Gunning, Paul; Fawcett, Allen; [Ex. 6 - Privacy, Roque Sanchez]; Kawahata, Molly; Browne, Cynthia; Bassett, Luke (Luke.Bassett@Hq.Doe.Gov); Meisel, Julia S; Hultman, Nathan; Sepp, Eryn  
**Subject:** Post 2020  
**When:** Thursday, March 06, 2014 5:00 PM-6:00 PM (GMT-05:00) Eastern Time (US & Canada).  
**Where:** EEOB 430A

Tentative Agenda

**Ex. 5 - Deliberative**

**Manifest**

EOP: Podesta, Utech, Duke, Minsk, Stock, Bodnar, Patron

State: Stern, Talley, Artusio

DOE: Pershing, Greenwald, Mignone, Larsen

EPA: McCabe, Goffman, LeFranc, Dunham, Gunning, Fawcett

**To:** Stewart, Lori[Stewart.Lori@epa.gov]  
**From:** LeFranc, Maurice  
**Sent:** Tue 3/4/2014 11:19:26 PM  
**Subject:** Re: Thursday post-2020 meeting - 5:00-6:00 pm

"Staff" makes sense in that Sarah D., me, paull Gunning and Allen Fawcett cover these. But I feel either Janet or Joe need to go because Podesta will be there from the WH. We need a senior political. We are just learning the nature of this meeting.

---

**From:** Stewart, Lori  
**Sent:** Tuesday, March 4, 2014 6:16:07 PM  
**To:** LeFranc, Maurice; Atkinson, Emily  
**Subject:** RE: Thursday post-2020 meeting - 5:00-6:00 pm

It just says "to staff" which usually doesn't mean Joe, but perhaps he can go if Janet cannot.

-----Original Message-----

**From:** LeFranc, Maurice  
**Sent:** Tuesday, March 04, 2014 6:12 PM  
**To:** Stewart, Lori; Atkinson, Emily  
**Subject:** Re: Thursday post-2020 meeting - 5:00-6:00 pm

I think with Podesta being there it would be important. Did she delegate it to Joe which might work? There is a decision point that Janet/Joe should be aware of.

---

**From:** Stewart, Lori  
**Sent:** Tuesday, March 4, 2014 6:04:21 PM  
**To:** LeFranc, Maurice; Atkinson, Emily  
**Subject:** RE: Thursday post-2020 meeting - 5:00-6:00 pm

It is shown as delegated and Janet has other internal meetings that would need to be rescheduled to do this. I will try to flag this at the morning roundtable. Thanks Maurice.

-----Original Message-----

**From:** LeFranc, Maurice  
**Sent:** Tuesday, March 04, 2014 5:59 PM  
**To:** Atkinson, Emily; Stewart, Lori  
**Subject:** Thursday post-2020 meeting - 5:00-6:00 pm

Is this meeting on Janet/Joe's calendar? This is a meeting she should attend if she can manage the time - Todd Stern and John Podesta will both be at the meeting.

**To:** Sierawski, Clare S[SierawskiCS@state.gov]  
**From:** LeFranc, Maurice  
**Sent:** Tue 3/4/2014 3:32:02 PM  
**Subject:** RE: Few China things

I will shoot for getting to State at 12:15 and will swing by your office then. Can head up to Dan's meeting from there. I am checking on ports with Janet but not sure I will have an answer today.

**From:** Sierawski, Clare S [mailto:SierawskiCS@state.gov]  
**Sent:** Tuesday, March 04, 2014 10:30 AM  
**To:** LeFranc, Maurice  
**Subject:** RE: Few China things

Yes☺ (sorry – 12:15/30)

**From:** LeFranc, Maurice [mailto:LeFranc.Maurice@epa.gov]  
**Sent:** Tuesday, March 04, 2014 10:29 AM  
**To:** Sierawski, Clare S  
**Subject:** RE: Few China things

Do you mean 12:30 or 12:45 before Dan's meeting?

**From:** Sierawski, Clare S [mailto:SierawskiCS@state.gov]  
**Sent:** Tuesday, March 04, 2014 10:23 AM  
**To:** LeFranc, Maurice  
**Subject:** RE: Few China things

We have a UNFCCC meeting at 2pm – any chance we could connect before (~1:15/1:30)?

**From:** LeFranc, Maurice [mailto:LeFranc.Maurice@epa.gov]  
**Sent:** Tuesday, March 04, 2014 10:06 AM  
**To:** Sierawski, Clare S  
**Subject:** RE: Few China things

I assume you will be at the 1:00 meeting today. Do you want to catch up after – 2:00-2:30 say?

**From:** Sierawski, Clare S [<mailto:SierawskiCS@state.gov>]  
**Sent:** Monday, March 03, 2014 6:49 PM  
**To:** LeFranc, Maurice  
**Subject:** RE: Few China things

I agree Maurice – that is exactly the discussion I've been wanting to have with EPA for awhile now, but I keep getting told you all need to coordinate internally first☺. Let me know when you guys are ready to have it, and we can get the right folks in the room (maybe Todd, Janet, DOE and DOT?). In the absence of that discussion, things like boilers fill the void. Carlos has the bit between his teeth, and Todd has surrendered on it (if Carlos wants to do the work he can; we just need to make sure that he's not eating up the Chinese time if we want them to be working with us on something else).

SBU

This email is UNCLASSIFIED.

**From:** LeFranc, Maurice [<mailto:LeFranc.Maurice@epa.gov>]  
**Sent:** Monday, March 03, 2014 6:45 PM  
**To:** Sierawski, Clare S  
**Subject:** Re: Few China things

Thanks - helpful. I will connect with Janet on boilers one way or another tomorrow morning. It really seems

**Ex. 5 - Deliberative**

# Ex. 5 - Deliberative

**From:** Sierawski, Clare S <[SierawskiCS@state.gov](mailto:SierawskiCS@state.gov)>

**Sent:** Monday, March 3, 2014 6:16:56 PM

**To:** LeFranc, Maurice

**Subject:** RE: Few China things

Let's talk later in the day on Ports then (once you've connected with Janet). On boilers, it would

# Ex. 5 - Deliberative

Have a great night, and looking forward to talking Ports at some point tomorrow.

Thank you!

Clare

This email is UNCLASSIFIED.

**From:** LeFranc, Maurice [<mailto:LeFranc.Maurice@epa.gov>]

**Sent:** Monday, March 03, 2014 5:57 PM

**To:** Sierawski, Clare S

**Subject:** Re: Few China things

I need to check in with Janet on ports tomorrow so 9:00 might not be productive but we can connect tomorrow once I have an answer.

I get that Carlos will offer the proposal - but are you (SECC) convinced that it should come forward under CCWG? Do we know who in China clearly covers this sector? Do we know who in the US will carry this forward?

---

**From:** Sierawski, Clare S <[SierawskiCS@state.gov](mailto:SierawskiCS@state.gov)>  
**Sent:** Monday, March 3, 2014 5:46:26 PM  
**To:** LeFranc, Maurice  
**Subject:** RE: Few China things

Hi Maurice!

Looking forward to hearing about China. On Ports, Todd is definitely interested, but the time is very short between now and the March 17-18 meetings so we would have to move very quickly. Can we discuss in the morning? Are you free for a call around 9am?

Carlos will raise the boiler idea as part of the CCWG. ENR has a new draft of the proposal that we are commenting on today and then I think there will be an interagency meeting at the end of this week.

Looking forward to talking in the morning about Ports!

Clare

This email is UNCLASSIFIED.

**From:** LeFranc, Maurice [<mailto:LeFranc.Maurice@epa.gov>]  
**Sent:** Monday, March 03, 2014 12:25 PM  
**To:** Sierawski, Clare S  
**Subject:** Re: Few China things

Clare:

Happy winter. Hope you are well. China was very informative.

Hopefully we can connect tomorrow on a few things. Specific follow up for me is interest/movement on the ports idea - I will check today with Janet.

Related question on CCWG issues.

**Ex. 5 - Deliberative**

**Ex. 5 - Deliberative** ?

Later.  
Maurice

---

**From:** Sierawski, Clare S <[SierawskiCS@state.gov](mailto:SierawskiCS@state.gov)>  
**Sent:** Wednesday, February 26, 2014 12:33:15 AM  
**To:** LeFranc, Maurice  
**Cc:** Blubaugh, Jim; Dolan, Bridget M  
**Subject:** Re: Few China things

You need face masks!!

**From:** LeFranc, Maurice [<mailto:LeFranc.Maurice@epa.gov>]  
**Sent:** Tuesday, February 25, 2014 08:53 PM  
**To:** Sierawski, Clare S  
**Cc:** Blubaugh, Jim <[Blubaugh.Jim@epa.gov](mailto:Blubaugh.Jim@epa.gov)>; Dolan, Bridget M  
**Subject:** Re: Few China things

Clare:

Thanks for email. I will get back to you later today.

Air is worse - over 400 and supposedly some recording of over 550. Starting really feel it.

---

**From:** Sierawski, Clare S <[SierawskiCS@state.gov](mailto:SierawskiCS@state.gov)>  
**Sent:** Wednesday, February 26, 2014 7:44:19 AM  
**To:** LeFranc, Maurice  
**Cc:** Blubaugh, Jim; Dolan, Bridget M  
**Subject:** RE: Few China things



Hi Maurice! I hope the air is starting to clear up - we've been seeing all of the coverage here - it looks awful!

Here are some answers to your Qs:

# **Ex. 5 - Deliberative**

# Ex. 5 - Deliberative

**Thank you!!**

**Clare**

-----Original Message-----

From: LeFranc, Maurice [<mailto:LeFranc.Maurice@epa.gov>]

Sent: Tuesday, February 25, 2014 1:17 AM

To: Sierawski, Clare S

Subject: Few China things

Miss you here. Part way through first day - MEP this morning and in with MOT now. Air is bad - meetings good. A few things:

# Ex. 5 - Deliberative

Keep me in the loop on anything on CCWG. Let us know if you need anything from here.

**To:** McCabe, Janet[McCabe.Janet@epa.gov]  
**From:** LeFranc, Maurice  
**Sent:** Sun 2/23/2014 5:04:58 PM  
**Subject:** Re: Meeting between Secretary Moniz and our Administrator

On runway heading to Beijing. We should have some good intel when we return. I suggested to Emily we delay the China OD meeting until we have time to digest Gina's reaction to tomorrow's meeting. I have some ideas for next steps and would like to lead follow up on this China strategy work.

I will be on BBry all week and can keep things moving forward as needed.

Have a good week.

Maurice

---

From: McCabe, Janet  
Sent: Saturday, February 22, 2014 7:39:40 AM  
To: LeFranc, Maurice  
Subject: Re: Meeting between Secretary Moniz and our Administrator

Thanks! All governors, all the time...

---

From: LeFranc, Maurice  
Sent: Friday, February 21, 2014 10:57:47 PM  
To: McCabe, Janet  
Subject: Re: Meeting between Secretary Moniz and our Administrator

Thanks - have a nice DC weekend.

---

From: McCabe, Janet  
Sent: Friday, February 21, 2014 10:34:15 PM  
To: LeFranc, Maurice  
Subject: RE: Meeting between Secretary Moniz and our Administrator

Correct--it is NOT needed in advance of the Adm's meeting monday.

---

From: LeFranc, Maurice  
Sent: Friday, February 21, 2014 8:56 PM  
To: McCabe, Janet  
Subject: Re: Meeting between Secretary Moniz and our Administrator

I spoke to Paul Gunning and Allen Fawcett after the post-2020 meeting today. We need some time to pull together the piece on what is being considered as inputs in the projections post-2020 - this is still settling out and a little time to pull it together would be helpful. It doesn't seem necessary for the Monday meeting unless I am misunderstanding this request.

---

From: McCabe, Janet  
Sent: Friday, February 21, 2014 12:58:35 PM  
To: LeFranc, Maurice; Goffman, Joseph; Niebling, William; Sowell, Sarah; Page, Steve; Dunham, Sarah; Grundler, Christopher; Blubaugh, Jim; Schreifels, Jeremy  
Cc: Nishida, Jane  
Subject: RE: Meeting between Secretary Moniz and our Administrator

We had a good conversation with the Administrator yesterday in prep for the secretaries' meeting on Monday, which it sounds like will be just the three of them.

Gina agreed that post 2020 is a good topic, and understands where the staff discussions are, and the

## Ex. 5 - Deliberative

Things that Gina mentioned she'd like to add to the list, or that I noticed we hadn't included, were

## Ex. 5 - Deliberative

purposes of any revisions to the background material, let's just make sure to add these items in the appropriate places in the backgrounder--there's not time to add much, but just so she has them as reminders for Monday.

Thanks.

-----Original Message-----

From: LeFranc, Maurice

Sent: Friday, February 21, 2014 8:31 AM

To: Pershing, Jonathan; Goffman, Joseph; McCabe, Janet

Subject: RE: Meeting between Secretary Moniz and our Administrator

Thanks Jonathan. I have meetings at CEQ until 11:00 or so but will connect after that. Post-2020 is teed up for Gina.

-----Original Message-----

From: Pershing, Jonathan [mailto:Jonathan.Pershing@Hq.Doe.Gov]

Sent: Thursday, February 20, 2014 8:09 PM

To: LeFranc, Maurice; Goffman, Joseph; McCabe, Janet

Subject: RE: Meeting between Secretary Moniz and our Administrator

Maurice et al --

Thanks for input. We are having a meeting tomorrow with our Secretary to discuss more specifically, but

(b)(5) deliberative

## Ex. 5 - Deliberative

Let me know if anything here gives you heartburn. I will give you a heads up if additional items come along after I talk to him.

J

-----Original Message-----

From: LeFranc, Maurice [mailto:LeFranc.Maurice@epa.gov]

Sent: Thursday, February 20, 2014 5:55 PM

To: Pershing, Jonathan; Goffman, Joseph; McCabe, Janet

Subject: Meeting between Secretary Moniz and our Administrator

Jonathan:

Hope you are well. Joe asked me to follow up on your email about Monday's meeting (I have been leading on this).

We can connect tomorrow with more detail but as a first cut, the Administrator would like to spend most if not all of the meeting on China. She can share her experiences/observations from her recent trip as well as cover some of the work we are doing. I believe she would like to discuss

**Ex. 5 - Deliberative**

**Ex. 5 - Deliberative**

Are there specific areas your Secretary would like to cover?

Thanks.

Maurice

**To:** Gunning, Paul[Gunning.Paul@epa.gov]  
**From:** LeFranc, Maurice  
**Sent:** Sat 2/22/2014 3:58:33 AM  
**Subject:** Fw: Meeting between Secretary Moniz and our Administrator

See below. Have a good weekend - see you in a week.

---

**From:** McCabe, Janet  
**Sent:** Friday, February 21, 2014 10:34:15 PM  
**To:** LeFranc, Maurice  
**Subject:** RE: Meeting between Secretary Moniz and our Administrator

Correct--it is NOT needed in advance of the Adm's meeting monday.

---

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**Sent:** Friday, February 21, 2014 8:56 PM  
**To:** McCabe, Janet  
**Subject:** Re: Meeting between Secretary Moniz and our Administrator

I spoke to Paul Gunning and Allen Fawcett after the post-2020 meeting today. We need some time to pull together the piece on what is being considered as inputs in the projections post-2020 - this is still settling out and a little time to pull it together would be helpful. It doesn't seem necessary for the Monday meeting unless I am misunderstanding this request.

---

**From:** McCabe, Janet  
**Sent:** Friday, February 21, 2014 12:58:35 PM  
**To:** LeFranc, Maurice; Goffman, Joseph; Niebling, William; Sowell, Sarah; Page, Steve; Dunham, Sarah; Grundler, Christopher; Blubaugh, Jim; Schreifels, Jeremy  
**Cc:** Nishida, Jane  
**Subject:** RE: Meeting between Secretary Moniz and our Administrator

We had a good conversation with the Administrator yesterday in prep for the secretaries' meeting on Monday, which it sounds like will be just the three of them.

Gina agreed that post 2020 is a good topic, and understands where the staff discussions are, and the

## Ex. 5 - Deliberative

Things that Gina mentioned she'd like to add to the list, or that I noticed we hadn't included, were Ex. 5 - Deliberative

## Ex. 5 - Deliberative

purposes of any revisions to the background material, let's just make sure to add these items in the appropriate places in the backgrounder--there's not time to add much, but just so she has them as reminders for Monday.

Thanks.

-----Original Message-----

**From:** LeFranc, Maurice  
**Sent:** Friday, February 21, 2014 8:31 AM  
**To:** Pershing, Jonathan; Goffman, Joseph; McCabe, Janet  
**Subject:** RE: Meeting between Secretary Moniz and our Administrator

Thanks Jonathan. I have meetings at CEQ until 11:00 or so but will connect after that. Post-2020 is teed up for Gina.

-----Original Message-----

From: Pershing, Jonathan [mailto:Jonathan.Pershing@Hq.Doe.Gov]  
Sent: Thursday, February 20, 2014 8:09 PM  
To: LeFranc, Maurice; Goffman, Joseph; McCabe, Janet  
Subject: RE: Meeting between Secretary Moniz and our Administrator

Maurice et al --

Thanks for input. We are having a meeting tomorrow with our Secretary to discuss more specifically, but

(b)(5) deliberative

# Ex. 5 - Deliberative

Let me know if anything here gives you heartburn. I will give you a heads up if additional items come along after I talk to him.

J

-----Original Message-----

From: LeFranc, Maurice [mailto:LeFranc.Maurice@epa.gov]  
Sent: Thursday, February 20, 2014 5:55 PM  
To: Pershing, Jonathan; Goffman, Joseph; McCabe, Janet  
Subject: Meeting between Secretary Moniz and our Administrator

Jonathan:

Hope you are well. Joe asked me to follow up on your email about Monday's meeting (I have been leading on this).

We can connect tomorrow with more detail but as a first cut, the Administrator would like to spend most if not all of the meeting on China. She can share her experiences/observations from her recent trip as well as cover some of the work we are doing. I believe she would like to discuss

Ex. 5 - Deliberative

Ex. 5 - Deliberative

Are there specific areas your Secretary would like to cover?

Thanks.

Maurice



**To:** Pershing, Jonathan[Jonathan.Pershing@Hq.Doe.Gov]  
**From:** LeFranc, Maurice  
**Sent:** Sat 2/22/2014 12:52:36 AM  
**Subject:** Re: Meeting between Secretary Moniz and our Administrator

Those are two areas we teed up for Gina.

---

From: Pershing, Jonathan <Jonathan.Pershing@Hq.Doe.Gov>  
Sent: Friday, February 21, 2014 7:25:27 PM  
To: LeFranc, Maurice; Goffman, Joseph; McCabe, Janet  
Subject: RE: Meeting between Secretary Moniz and our Administrator

Thanks.

In discussions with him today, none of this changed...though I had the sense he would focus on post-2020 and China. Looking forward to hearing the read-out.

J

-----Original Message-----

From: LeFranc, Maurice [mailto:LeFranc.Maurice@epa.gov]  
Sent: Friday, February 21, 2014 7:23 PM  
To: Pershing, Jonathan; Goffman, Joseph; McCabe, Janet  
Subject: Re: Meeting between Secretary Moniz and our Administrator

JP:

Sorry for delay. This is all consistent with what we have teed up for Gina. Hope it turns out to be a good meeting.

Maurice

---

From: Pershing, Jonathan <Jonathan.Pershing@Hq.Doe.Gov>  
Sent: Thursday, February 20, 2014 8:09:15 PM  
To: LeFranc, Maurice; Goffman, Joseph; McCabe, Janet  
Subject: RE: Meeting between Secretary Moniz and our Administrator

Maurice et al --

Thanks for input. We are having a meeting tomorrow with our Secretary to discuss more specifically, but

(b)(5) deliberative

**Ex. 5 - Deliberative**

Let me know if anything here gives you heartburn. I will give you a heads up if additional items come along after I talk to him.

J

-----Original Message-----

From: LeFranc, Maurice [mailto:LeFranc.Maurice@epa.gov]  
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To: Pershing, Jonathan; Goffman, Joseph; McCabe, Janet  
Subject: Meeting between Secretary Moniz and our Administrator

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**Ex. 5 - Deliberative**

**Ex. 5 - Deliberative**

Are there specific areas your Secretary would like to cover?

Thanks.

Maurice

**To:** Krieger, Jackie[Krieger.Jackie@epa.gov]  
**From:** LeFranc, Maurice  
**Sent:** Fri 2/21/2014 11:57:01 PM  
**Subject:** Re: Meeting between Secretary Moniz and our Administrator

Did you get everything you need for Sarah on Monday? We should connect when I get back.

---

From: Krieger, Jackie  
Sent: Friday, February 21, 2014 5:45:09 PM  
To: LeFranc, Maurice  
Subject: RE: Meeting between Secretary Moniz and our Administrator

I think as long as you have the placeholder, that's fine. Have a nice weekend.

-----Original Message-----

From: LeFranc, Maurice  
Sent: Friday, February 21, 2014 5:44 PM  
To: Krieger, Jackie  
Subject: Re: Meeting between Secretary Moniz and our Administrator

On the inventory inputs, I asked Janet about this and she wanted to pass this on separately from the China materials. I have already sent in briefing materials with **Ex. 5 - Deliberative** as placeholders (topics not yet fleshed out). By the time I heard about this I did not have time to add anything substantive in. Am at WH but can send you briefing.

---

From: Krieger, Jackie  
Sent: Friday, February 21, 2014 5:32:57 PM  
To: LeFranc, Maurice  
Subject: FW: Meeting between Secretary Moniz and our Administrator

Maurice - Are you going to be adding anything on **Ex. 5 - Deliberative** to the materials for Monday - per Janet's note below. I don't know that we have much esp at this late notice, that we can say about new activities. There was a page on **Ex. 5 - Deliberative** that we included in the brfg for Janet Last week (attached), but I don't have anything in the can for **Ex. 5 - Deliberative**

-----Original Message-----

From: Dunham, Sarah  
Sent: Friday, February 21, 2014 4:10 PM  
To: Krieger, Jackie; Gunning, Paul  
Subject: Fw: Meeting between Secretary Moniz and our Administrator

See post 2020 gina request--we'll need a one pager which we should talk about

---

From: McCabe, Janet  
Sent: Friday, February 21, 2014 5:58:35 PM  
To: LeFranc, Maurice; Goffman, Joseph; Niebling, William; Sowell, Sarah; Page, Steve; Dunham, Sarah; Grundler, Christopher; Blubaugh, Jim; Schreifels, Jeremy  
Cc: Nishida, Jane  
Subject: RE: Meeting between Secretary Moniz and our Administrator

We had a good conversation with the Administrator yesterday in prep for the secretaries' meeting on Monday, which it sounds like will be just the three of them.

Gina agreed that post 2020 is a good topic, and understands where the staff discussions are, and the **Ex. 5 - Deliberative**

## Ex. 5 - Deliberative

Things that Gina mentioned she'd like to add to the list, or that I noticed we hadn't included, were Ex. 5 - Deliberative

## Ex. 5 - Deliberative

purposes of any revisions to the background material, let's just make sure to add these items in the appropriate places in the background--there's not time to add much, but just so she has them as reminders for Monday.

Thanks.

-----Original Message-----

From: LeFranc, Maurice  
Sent: Friday, February 21, 2014 8:31 AM  
To: Pershing, Jonathan; Goffman, Joseph; McCabe, Janet  
Subject: RE: Meeting between Secretary Moniz and our Administrator

Thanks Jonathan. I have meetings at CEQ until 11:00 or so but will connect after that. Post-2020 is teed up for Gina.

-----Original Message-----

From: Pershing, Jonathan [mailto:Jonathan.Pershing@Hq.Doe.Gov]  
Sent: Thursday, February 20, 2014 8:09 PM  
To: LeFranc, Maurice; Goffman, Joseph; McCabe, Janet  
Subject: RE: Meeting between Secretary Moniz and our Administrator

Maurice et al --

Thanks for input. We are having a meeting tomorrow with our Secretary to discuss more specifically, but

(b)(5) deliberative

## Ex. 5 - Deliberative

Let me know if anything here gives you heartburn. I will give you a heads up if additional items come along after I talk to him.

J

-----Original Message-----

From: LeFranc, Maurice [mailto:LeFranc.Maurice@epa.gov]  
Sent: Thursday, February 20, 2014 5:55 PM  
To: Pershing, Jonathan; Goffman, Joseph; McCabe, Janet  
Subject: Meeting between Secretary Moniz and our Administrator

Jonathan:

Hope you are well. Joe asked me to follow up on your email about Monday's meeting (I have been leading on this).

We can connect tomorrow with more detail but as a first cut, the Administrator would like to spend most if not all of the meeting on China. She can share her experiences/observations from her recent trip as well as cover some of the work we are doing. I believe she would like to discuss:

**Ex. 5 - Deliberative**

**Ex. 5 - Deliberative**

Are there specific areas your Secretary would like to cover?

Thanks.

Maurice

**To:** Pershing, Jonathan[Jonathan.Pershing@Hq.Doe.Gov]; Goffman, Joseph[Goffman.Joseph@epa.gov]; McCabe, Janet[McCabe.Janet@epa.gov]  
**From:** LeFranc, Maurice  
**Sent:** Fri 2/21/2014 1:31:09 PM  
**Subject:** RE: Meeting between Secretary Moniz and our Administrator

Thanks Jonathan. I have meetings at CEQ until 11:00 or so but will connect after that. Post-2020 is teed up for Gina.

-----Original Message-----

From: Pershing, Jonathan [mailto:Jonathan.Pershing@Hq.Doe.Gov]  
Sent: Thursday, February 20, 2014 8:09 PM  
To: LeFranc, Maurice; Goffman, Joseph; McCabe, Janet  
Subject: RE: Meeting between Secretary Moniz and our Administrator

Maurice et al --

Thanks for input. We are having a meeting tomorrow with our Secretary to discuss more specifically, but

(b)(5) deliberative

## Ex. 5 - Deliberative

Let me know if anything here gives you heartburn. I will give you a heads up if additional items come along after I talk to him.

J

-----Original Message-----

From: LeFranc, Maurice [mailto:LeFranc.Maurice@epa.gov]  
Sent: Thursday, February 20, 2014 5:55 PM  
To: Pershing, Jonathan; Goffman, Joseph; McCabe, Janet  
Subject: Meeting between Secretary Moniz and our Administrator

Jonathan:

Hope you are well. Joe asked me to follow up on your email about Monday's meeting (I have been leading on this).

We can connect tomorrow with more detail but as a first cut, the Administrator would like to spend most if not all of the meeting on China. She can share her experiences/observations from her recent trip as well as cover some of the work we are doing. I believe she would like to discuss:

Ex. 5 - Deliberative

Ex. 5 - Deliberative

Are there specific areas your Secretary would like to cover?

Thanks.

Maurice

**To:** Gunning, Paul[Gunning.Paul@epa.gov]; Fawcett, Allen[Fawcett.Allen@epa.gov]  
**Cc:** Krieger, Jackie[Krieger.Jackie@epa.gov]; Hengst, Benjamin[Hengst.Benjamin@epa.gov]  
**From:** LeFranc, Maurice  
**Sent:** Thur 2/20/2014 2:18:19 PM  
**Subject:** Re: Materials for post-2020 analytics meeting tomorrow

Yeah - weird list and not sure we can (want) to say much about Ex. 5 - Deliberative

---

From: Gunning, Paul  
Sent: Thursday, February 20, 2014 9:12:40 AM  
To: LeFranc, Maurice; Fawcett, Allen  
Cc: Krieger, Jackie; Hengst, Benjamin  
Subject: RE: Materials for post-2020 analytics meeting tomorrow

Maurice,

Ex. 5 - Deliberative ? I just got off of the phone with Ben H. and gave him a quick overview of the discussions to date. To be honest, I am not sure what the ask was for anything other than the non-co2 at this point.

Paul

-----Original Message-----

From: LeFranc, Maurice  
Sent: Thursday, February 20, 2014 8:55 AM  
To: Fawcett, Allen; Gunning, Paul  
Cc: Krieger, Jackie  
Subject: Re: Materials for post-2020 analytics meeting tomorrow

Thanks - there was a list of next steps that included things like Ex. 5 - Deliberative Are we on the hook for these?

Ex. 5 - Deliberative

---

From: Fawcett, Allen  
Sent: Thursday, February 20, 2014 8:48:29 AM  
To: LeFranc, Maurice; Gunning, Paul  
Cc: Krieger, Jackie  
Subject: Re: Materials for post-2020 analytics meeting tomorrow

We're working on some non-CO2 slides for the meeting that should be ready later this morning. The meeting is also going to cover international modeling, so we could bring the China slides we discussed with State.

Allen

---

From: LeFranc, Maurice  
Sent: Thursday, February 20, 2014 8:28:01 AM  
To: Fawcett, Allen; Gunning, Paul  
Cc: Krieger, Jackie  
Subject: Materials for post-2020 analytics meeting tomorrow

Trying to catch up before meeting tomorrow. There were a number of assignments out of last meeting - can you let me know where we are on those and whether we have any materials we are prepping for the meeting? Thanks.



**To:** Geller, Michael[Geller.Michael@epa.gov]  
**From:** LeFranc, Maurice  
**Sent:** Wed 2/19/2014 10:35:36 PM  
**Subject:** new version  
China points for pre-brief version 1.docx

Sorry - here it is.

Maurice N. LeFranc, Jr.  
Senior Advisor for International Climate Change  
Office of Air and Radiation  
U.S. Environmental Protection Agency  
Office Phone: 202-564-1813  
Mobile: 202-450-7863

**To:** Stewart, Lakita[Stewart.Lakita@epa.gov]; Dubin, Noah[Dubin.Noah@epa.gov]; Troche, Luis[Troche.Luis@epa.gov]  
**Cc:** Kasman, Mark[Kasman.Mark@epa.gov]; Barnett-Owens, Inga[Barnett-Owens.Inga@epa.gov]  
**From:** LeFranc, Maurice  
**Sent:** Wed 2/19/2014 10:35:02 PM  
**Subject:** RE: draft briefing package for pre-brief with the Administrator for Kerry/Moniz meeting  
[China points for pre-brief version 1.docx](#)

Please use this - just got a late addition

---

**From:** Stewart, Lakita  
**Sent:** Wednesday, February 19, 2014 5:31 PM  
**To:** LeFranc, Maurice; Dubin, Noah; Troche, Luis  
**Cc:** Kasman, Mark; Barnett-Owens, Inga  
**Subject:** RE: draft briefing package for pre-brief with the Administrator for Kerry/Moniz meeting

Thanks Maurice, I am still here and printing for Jane's daily book now. Thanks again!

---

**From:** LeFranc, Maurice  
**Sent:** Wednesday, February 19, 2014 5:30 PM  
**To:** Stewart, Lakita; Dubin, Noah; Troche, Luis  
**Cc:** Kasman, Mark; Barnett-Owens, Inga  
**Subject:** RE: draft briefing package for pre-brief with the Administrator for Kerry/Moniz meeting

Lakita:

Just finished it. Attached.

Maurice

<< File: China points for pre-brief version 1.docx >>

**From:** Stewart, Lakita  
**Sent:** Wednesday, February 19, 2014 5:16 PM  
**To:** LeFranc, Maurice; Dubin, Noah; Troche, Luis  
**Cc:** Kasman, Mark; Barnett-Owens, Inga  
**Subject:** RE: draft briefing package for pre-brief with the Administrator for Kerry/Moniz meeting

Thanks Maurice, I will print it for Jane tomorrow morning if it is not ready before I leave for this evening. Please copy Inga as well, she gets in the office early and she can print it off for Jane early in the morning if it is not ready before I leave tonight. Thanks again!

**From:** LeFranc, Maurice

**Sent:** Wednesday, February 19, 2014 3:56 PM  
**To:** Dubin, Noah; Troche, Luis  
**Cc:** Kasman, Mark; Stewart, Lakita  
**Subject:** RE: draft briefing package for pre-brief with the Administrator for Kerry/Moniz meeting

I will Noah. I will be running it by Janet around 5:00 so it will be after that.

**From:** Dubin, Noah  
**Sent:** Wednesday, February 19, 2014 3:49 PM  
**To:** Troche, Luis; LeFranc, Maurice  
**Cc:** Kasman, Mark; Stewart, Lakita  
**Subject:** RE: draft briefing package for pre-brief with the Administrator for Kerry/Moniz meeting

Please include Lakita Stewart when you send the final version over so she can add it to Jane's book.

**From:** Troche, Luis  
**Sent:** Wednesday, February 19, 2014 3:31 PM  
**To:** LeFranc, Maurice; Dubin, Noah  
**Cc:** Kasman, Mark  
**Subject:** RE: draft briefing package for pre-brief with the Administrator for Kerry/Moniz meeting

Maurice/Noah,

Thanks for sharing the draft.

A couple of comments: **Ex. 5 - Deliberative**

## Ex. 5 - Deliberative

Edited a couple of words that could be misinterpreted if this document is read by folks outside the agency.

**Best,**

**Luis Troche**

*Greater China Program Manager  
U.S. Environmental Protection Agency  
Office of International and Tribal Affairs  
e-mail: [troche.luis@epa.gov](mailto:troche.luis@epa.gov) | ph: +1 202.564.2870 | [www.epa.gov/international](http://www.epa.gov/international)*

**From:** LeFranc, Maurice  
**Sent:** Wednesday, February 19, 2014 2:42 PM  
**To:** Dubin, Noah; Troche, Luis  
**Subject:** draft briefing package for pre-brief with the Administrator for Kerry/Moniz meeting

Noah:

Here is the draft that I have pulled together today. The Administrator wanted some ideas to highlight

on concrete work with China. Let me know if you have anything to add. One piece I don't have is the work the OECA/OGC are doing with the Chinese.

I may try to cut this back a bit in the next hour or so.

Maurice

Maurice N. LeFranc, Jr.  
Senior Advisor for International Climate Change  
Office of Air and Radiation  
U.S. Environmental Protection Agency  
Office Phone: 202-564-1813  
Mobile: 202-450-7863

**To:** Geller, Michael[Geller.Michael@epa.gov]  
**From:** LeFranc, Maurice  
**Sent:** Wed 2/19/2014 10:28:44 PM  
**Subject:** Background for briefing tomorrow  
[China points for pre-brief version 1.docx](#)

Michael:

Here it is. Thanks for your help.

Maurice

Maurice N. LeFranc, Jr.  
Senior Advisor for International Climate Change  
Office of Air and Radiation  
U.S. Environmental Protection Agency  
Office Phone: 202-564-1813  
Mobile: 202-450-7863

**To:** Atkinson, Emily[Atkinson.Emily@epa.gov]; Browne, Cynthia[Browne.Cynthia@epa.gov]  
**From:** LeFranc, Maurice  
**Sent:** Tue 2/11/2014 3:37:29 PM  
**Subject:** 5:00 post-2020 discussion

This will be a technical discussion on types of analyses that EPA and DOE might conduct. No reason for Janet/Joe to attend. Not sure it is even worth them calling in unless they are free.

**To:** Ulman, Christie[**b(6) privacy**]  
**Cc:** Fawcett, Allen[Fawcett.Allen@epa.gov]; Ragnauth, Shaun[Ragnauth.Shaun@epa.gov]  
**From:** LeFranc, Maurice  
**Sent:** Mon 2/10/2014 4:13:20 PM  
**Subject:** RE: Check in before tomorrow's Post 2020 meeting

Christie:

Can you arrange a conference line at noon? Allen, Shaun R. (works for Allen on non-CO2) and I will call in. Thanks.

Maurice

**From:** Ulman, Christie [mailto:**b(6) privacy**]  
**Sent:** Monday, February 10, 2014 9:48 AM  
**To:** LeFranc, Maurice  
**Subject:** Check in before tomorrow's Post 2020 meeting

Hi Maurice,

I hope you had a great weekend. I am hoping we can check-in this morning with regard to tomorrow's Post 2020 meeting. We wanted to follow up on the **b(5) deliberative** discussed in last week's meeting and discuss the agenda for tomorrow.

My schedule is pretty flexible today (hooray!). I am free between now and 11:30, and noon to 3:00.

Let me know if we can chat briefly in one of those intervals.

Thanks,

Christie

Christie Ulman

Deputy Associate Director  
Energy and Climate Change  
White House Council on Environmental Quality



**To:** Duke, Rick [b(6) privacy]; Vahlsing, Candace [b(6) privacy]  
**From:** LeFranc, Maurice  
**Sent:** Mon 2/10/2014 3:44:30 PM  
**Subject:** RE: Forest Carbon Measurement Follow-Up

Rick:

Thanks for all of your help with this. As I thought about this over the weekend I realized the

**b(5) deliberative**

Your email (and the meeting last Friday) hopefully will get this on track. We will keep at this regardless.

Maurice

**From:** Duke, Rick [mailto:[b(6) privacy]]  
**Sent:** Saturday, February 08, 2014 5:27 PM  
**To:** LeFranc, Maurice  
**Subject:** FW: Forest Carbon Measurement Follow-Up

Let me know if you think I misframed any of this.

thks

**From:** Duke, Rick  
**Sent:** Saturday, February 08, 2014 1:23 AM  
**To:** Toral Patel-Weynand; Irving, Bill; Langner, Linda -FS; Gunning, Paul; Jenkins, Jennifer; Fawcett, Allen; Ohrel, Sara; Woodall, Christopher W -FS; Reams, Greg -FS; Wear, Dave -FS; Skog, Kenneth E -FS; Reed, Bradley; [Lefranc.maurice@epa.gov](mailto:Lefranc.maurice@epa.gov); Li, Jia; Goffman, Joseph ([Goffman.Joseph@epa.gov](mailto:Goffman.Joseph@epa.gov)); [Robert.Bonnie@osec.usda.gov](mailto:Robert.Bonnie@osec.usda.gov); [Patrick.Holmes@osec.usda.gov](mailto:Patrick.Holmes@osec.usda.gov); Hohenstein, William - OCE ([WHOHENST@oce.usda.gov](mailto:WHOHENST@oce.usda.gov)); Cleaves, David -FS ([dcleaves@fs.fed.us](mailto:dcleaves@fs.fed.us));

Elizabeth\_Klein@ios.doi.gov; sarah\_greenberger@ios.doi.gov; 'Jonathan.pershing@hq.doe.gov';  
Greenwald, Judith (Judith.Greenwald@Hq.Doe.Gov); Mignone, Bryan (Bryan.Mignone@hq.doe.gov);  
'gshrestha@usgcrp.gov'; Strait, Elan P; Dragisic, Christine D; Meisel, Julia S; Christine Blackburn - NOAA  
Federal; Michael Weiss - NOAA Federal; Jensen, Jay; Ewen, Alice; 'Matthew Larsen'; Dietz, Michelle  
(Intern); Trigg Talley (OES) (talleyt@state.gov) (talleyt@state.gov); Debrosse, Muriel; Greczmiel, Horst;  
Eng, Esther; Cuddy, Thomas; 'Hodson, Elke (FELLOW)'; 'Artusio, Christo F'; 'syoffe@fs.fed.us'; 'Ariana  
Sutton-Grier - NOAA Affiliate'; 'Amber Moore - NOAA Affiliate'; Garvey, Will; 'Prestemon, Jeff -FS'; Duke,  
Chuck W  
**Cc:** Vahlsing, Candace  
**Subject:** Forest Carbon Measurement Follow-Up

Thanks for the productive discussion today.

Coming out of today's discussion there are four work streams:

**b(5) deliberative**

As follow-up we will be hosting another in-person meeting on February 21. A meeting invite will be sent shortly.

Before the next meeting:

- All team leads and participating agencies should continue to work on item #1 and #2 above

- [redacted] USFS should prepare a proposal for item #3
- [redacted] USGCRP should prepare a proposal for item #4

Please let me know if you have any questions or concerns and thank you for your continued efforts on this Climate Action Plan priority.

**To:** Duke, Rick <[b(6) privacy]>  
**From:** LeFranc, Maurice  
**Sent:** Sat 2/8/2014 10:58:14 PM  
**Subject:** Re: Forest Carbon Measurement Follow-Up

Not at all - framed perfectly and is very helpful to move forward. We will keep at this.

---

**From:** Duke, Rick <[b(6) privacy]>  
**Sent:** Saturday, February 08, 2014 5:26:52 PM  
**To:** LeFranc, Maurice  
**Subject:** FW: Forest Carbon Measurement Follow-Up

Let me know if you think I misframed any of this.

thks

**From:** Duke, Rick  
**Sent:** Saturday, February 08, 2014 1:23 AM  
**To:** Toral Patel-Weynand; Irving, Bill; Langner, Linda -FS; Gunning, Paul; Jenkins, Jennifer; Fawcett, Allen; Ohrel, Sara; Woodall, Christopher W -FS; Reams, Greg -FS; Wear, Dave -FS; Skog, Kenneth E -FS; Reed, Bradley; Lefranc.maurice@epa.gov; Li, Jia; Goffman, Joseph (Goffman.Joseph@epa.gov) (Goffman.Joseph@epa.gov); Robert.Bonnie@osec.usda.gov; Patrick.Holmes@osec.usda.gov; Hohenstein, William - OCE (WHOHENST@oce.usda.gov); Cleaves, David -FS (dcleaves@fs.fed.us); Elizabeth\_Klein@ios.doi.gov; sarah\_greenberger@ios.doi.gov; 'Jonathan.pershing@hq.doe.gov'; Greenwald, Judith (Judith.Greenwald@Hq.Doe.Gov); Mignone, Bryan (Bryan.Mignone@hq.doe.gov); 'gshrestha@usgcrp.gov'; Strait, Elan P; Dragisic, Christine D; Meisel, Julia S; Christine Blackburn - NOAA Federal; Michael Weiss - NOAA Federal; Jensen, Jay; Ewen, Alice; 'Matthew Larsen'; Dietz, Michelle (Intern); Trigg Talley (OES) (talleyt@state.gov) (talleyt@state.gov); Debrosse, Muriel; Greczmiel, Horst; Eng, Esther; Cuddy, Thomas; 'Hodson, Elke (FELLOW)'; 'Artusio, Christo F'; 'syoffe@fs.fed.us'; 'Ariana Sutton-Grier - NOAA Affiliate'; 'Amber Moore - NOAA Affiliate'; Garvey, Will; 'Prestemon, Jeff -FS'; Duke, Chuck W  
**Cc:** Vahlsing, Candace  
**Subject:** Forest Carbon Measurement Follow-Up

Thanks for the productive discussion today.

Coming out of today's discussion there are four work streams:

1. [b(5) deliberative]

**b(5) deliberative**

2.

**b(5) deliberative**

**b(5) deliberative**

3.

**b(5) deliberative**

**b(5) deliberative**

4.

**b(5) deliberative**

**b(5) deliberative**

As follow-up we will be hosting another in-person meeting on February 21. A meeting invite will be sent shortly.

Before the next meeting:

- All team leads and participating agencies should continue to work on item #1 and #2 above
- USFS should prepare a proposal for item #3
- USGCRP should prepare a proposal for item #4

Please let me know if you have any questions or concerns and thank you for your continued efforts on this Climate Action Plan priority.

**To:** Krieger, Jackie[Krieger.Jackie@epa.gov]  
**From:** LeFranc, Maurice  
**Sent:** Tue 2/4/2014 4:41:24 PM  
**Subject:** RE: post-2020 meeting today

I had actually thought we would have put in more about alternative approaches but maybe at the staff level we are comfortable with what DOE is proposing - it seems like there might be some room for alternate analyses by EPA in Allen's note.

I haven't seen Sarah but will connect with her before 2:00.

**From:** Krieger, Jackie  
**Sent:** Tuesday, February 04, 2014 11:39 AM  
**To:** LeFranc, Maurice  
**Subject:** RE: post-2020 meeting today

Good, glad Allen cc'd you. Haven't head back form Sarah yet, she may very well want to call in also. I have the 2:00 deadline in mind – if you don't hear back from me – or Sarah if you see her – you might want to share Allen's background as long as you are comfortable with it. It seems to me to be helpful, but I haven't been in the meetings. I'm not sure if Sarah expected more on what we are doing/thinking.

**From:** LeFranc, Maurice  
**Sent:** Tuesday, February 04, 2014 11:33 AM  
**To:** Krieger, Jackie  
**Subject:** RE: post-2020 meeting today

Yes – I think Janet, Lori and possibly Joe will call in. Allen copied me on his email to you. I haven't sent anything forward to Janet and am fine if Sarah wants to get it to her – as long as it gets to her by around 2:00 or so.

Lori and others thought Sarah might call in due to a 4:00-5:00 meeting she has with Joe/Janet?

**From:** Krieger, Jackie  
**Sent:** Tuesday, February 04, 2014 11:22 AM  
**To:** LeFranc, Maurice  
**Subject:** RE: post-2020 meeting today

Is Janet really going to call in? I thought the disc at too technical a level to have an AA there. I have some background from Allen – am running it by Sarah first. Back to you soon.

**From:** LeFranc, Maurice  
**Sent:** Tuesday, February 04, 2014 10:22 AM  
**To:** Fawcett, Allen  
**Cc:** Stewart, Lori; Knapp, Kristien; Gunning, Paul; Krieger, Jackie; Kocchi, Suzanne  
**Subject:** post-2020 meeting today

Allen:

It appears the Janet, Joe (and possibly Sarah) will all be calling in to the 5:00 post-2020 discussion. Please send over any materials that might be used in the room by 2:00 today so I can get them to Janet and Joe (I assume you can get them to Sarah). It might be helpful to also preview what you think DOE will propose – **Ex. 5 - Deliberative**  
**Ex. 5 - Deliberative**? Thank you.

Maurice

Maurice N. LeFranc, Jr.

Senior Advisor for International Climate Change

Office of Air and Radiation

U.S. Environmental Protection Agency

Office Phone: 202-564-1813

Mobile: 202-450-7863

**To:** Knapp, Kristien[Knapp.Kristien@epa.gov]  
**Cc:** Fawcett, Allen[Fawcett.Allen@epa.gov]  
**From:** LeFranc, Maurice  
**Sent:** Wed 1/29/2014 8:33:14 PM  
**Subject:** Points on Post-2020 discussion for meeting tomorrow

Post-2020 Meeting at WH – January 30

# Ex. 5 - Deliberative



# **Ex. 5 - Deliberative**

Maurice N. LeFranc, Jr.

Senior Advisor for International Climate Change

Office of Air and Radiation

U.S. Environmental Protection Agency

Office Phone: 202-564-1813

Mobile: 202-450-7863

**From:** Murphy, Tina  
**Location:** WJC-N 5400 + Ex. 6 - Privacy Participant Code: Ex. 6 - Privacy  
**Importance:** Normal  
**Subject:** Accepted: Post 2020 Strategy  
**Start Date/Time:** Thur 1/16/2014 5:00:00 PM  
**End Date/Time:** Thur 1/16/2014 5:40:00 PM

**From:** Fawcett, Allen  
**Location:** WJC-N 5400 + **Ex. 6 - Privacy** Participant Code: **Ex. 6 - Privacy**  
**Importance:** Normal  
**Subject:** Accepted: Post 2020 Strategy  
**Start Date/Time:** Thur 1/16/2014 5:00:00 PM  
**End Date/Time:** Thur 1/16/2014 5:45:00 PM

**From:** Atkinson, Emily

**Location:** WJC-N 5400 + **Ex. 6 - Privacy** Participant Code: **Ex. 6 - Privacy**

**Importance:** Normal

**Subject:** Post 2020 Strategy

**Start Date/Time:** Thur 1/16/2014 5:00:00 PM

**End Date/Time:** Thur 1/16/2014 5:40:00 PM

Mid-January meeting on post-202

**To:** McCabe, Janet; Goffman, Joe; Dunham, Sarah; Gunning, Paul; Fawcett, Allen; LeFranc, Maurice; Irving, Bill

**From:** Atkinson, Emily  
**Location:** WJC-N 5400  
**Importance:** Normal  
**Subject:** General Discussion  
**Start Date/Time:** Thur 12/19/2013 11:00:00 PM  
**End Date/Time:** Thur 12/19/2013 11:30:00 PM

Re: Post 2020 Meeting  
**To:** McCabe, Janet; Goffman, Joe; LeFranc, Maurice

**From:** Atkinson, Emily  
**Location:** WAVES Sent on 12/11 and Request made to have additional EPA staff attend (Maurice, Sarah and Paul)  
**Importance:** Normal  
**Subject:** Post 2020 Meeting is delegated to Joe Goffman  
**Start Date/Time:** Tue 12/17/2013 8:59:00 PM  
**End Date/Time:** Tue 12/17/2013 8:59:00 PM

**To:** McCabe, Janet[McCabe.Janet@epa.gov]  
**Cc:** Stewart, Lori[Stewart.Lori@epa.gov]  
**From:** Niebling, William  
**Sent:** Mon 2/24/2014 9:58:09 PM  
**Subject:** Updated China piece  
[China points for Principals Meeting.docx](#)

Janet,

Lori reports that you wanted to see the updated China piece we sent to the Administrator for her Principals meeting, so it is attached. I tried to work in this morning's updates and to bring some order to a document that was getting a bit unruly. Time prohibited me from doing too much to it, as well as my still bare-bones understanding of the substance, but hopefully having a Table of Contents will give the Administrator the ability to find what she wants to in it.

Have a great trip!

-Wm.

-----

William L. Niebling

Office of Air and Radiation

U.S. Environmental Protection Agency

tel: 202.564.9616

fax: 202.564.1408



**To:** McCabe, Janet[McCabe.Janet@epa.gov]  
**Cc:** Niebling, William[Niebling.William@epa.gov]  
**From:** Stewart, Lori  
**Sent:** Mon 2/24/2014 2:37:29 PM  
**Subject:** China material for Administrator  
China points for pre-brief version 1 feb 21.docx

Janet, sorry to bother you but Maurice is in China and we are not sure what the Administrator is looking for (for her 11:00 Kerry/Moniz meeting) beyond the updated paper Maurice sent Friday evening (attached). Maurice had sent the note below to Jackie K. on Friday indicating he thought it was covered:

## Ex. 5 - Deliberative

did not have time to add anything substantive in. Am at WH but can send you briefing.”

**From:** Herckis, Arian  
**Sent:** Monday, February 24, 2014 9:33 AM  
**To:** Stewart, Lori  
**Cc:** Geller, Michael; Niebling, William; Fritz, Matthew; Porterfield, Teri  
**Subject:** RE: China material

This morning in the 8:30 am meeting the Administrator asked me to follow up with Janet on updated China materials. She said she had asked for additional information and had not received it yet, so I assume she is looking for something more than what she was already given.

**From:** Stewart, Lori  
**Sent:** Monday, February 24, 2014 9:30 AM  
**To:** Herckis, Arian  
**Cc:** Geller, Michael; Niebling, William  
**Subject:** China material

Arian and Teri, this is the latest briefing paper for the meeting with S. Kerry and S. Moniz.

Maurice is now in China. Was there something else the Administrator is looking for on this (Cynthia Browne told me you called about this Arian)?

**From:** LeFranc, Maurice

**Sent:** Friday, February 21, 2014 3:54 PM

**To:** Geller, Michael

**Cc:** Wang, Weber; Stewart, Lori; OAR Special Assistants; McCabe, Janet; Goffman, Joseph; Vaught, Laura; Nishida, Jane; Dubin, Noah; Troche, Luis

**Subject:** RE: briefing materials due today (3pm requested again if possible)

Here are the materials for Gina's meeting with Sec. Kerry and Moniz.

**To:** McCabe, Janet[McCabe.Janet@epa.gov]; Grundler, Christopher[grundler.christopher@epa.gov]  
**From:** Simon, Karl  
**Sent:** Thur 8/14/2014 6:11:49 PM  
**Subject:** FW: long-term carbon estimates  
Off-Highway.xlsx

Per our discussion yesterday. Here is a follow up note. Let me know what you would like us to do. thanks

**From:** Lie, Sharyn  
**Sent:** Thursday, August 14, 2014 12:40 PM  
**To:** Hengst, Benjamin; Simon, Karl; Snapp, Lisa  
**Subject:** FW: long-term carbon estimates

Karl-

So much for crossing this item off my to-do list. Please let me know how you would like to proceed.

Thanks,  
Sharyn

**From:** Duke, Rick [mailto:[Ex. 6 - Privacy](#)]  
**Sent:** Thursday, August 14, 2014 12:33 PM  
**To:** Dunham, Sarah; Lie, Sharyn; Barron, Alex  
**Cc:** Goffman, Joseph; Ulman, Christie; Hultman, Nathan; Fawcett, Allen; Zakaria, Rama; Wong, Jacqueline; LeFranc, Maurice  
**Subject:** RE: long-term carbon estimates

Some process updates:

- Christie is going to pull together a technical call with this group at 5pm on Monday

- We will hold our first interagency technical discussion on Wednesday 8/20, time TBC.

## Ex. 5 - Deliberative

Many thanks...

**From:** Duke, Rick

**Sent:** Monday, August 11, 2014 12:59 PM

**To:** Dunham, Sarah ([Dunham.Sarah@epa.gov](mailto:Dunham.Sarah@epa.gov)); 'Lie.Sharyn@epa.gov'

**Cc:** [goffman.joseph@epa.gov](mailto:goffman.joseph@epa.gov); Barron, Alex ([Barron.Alex@epa.gov](mailto:Barron.Alex@epa.gov)); Ulman, Christie; Hultman, Nathan; Fawcett, Allen ([Fawcett.Allen@epa.gov](mailto:Fawcett.Allen@epa.gov)); Zakaria, Rama

**Subject:** long-term carbon estimates

Sarah and Sharyn,

Some technical questions as we consider our long-term carbon pollution reduction goals.

Does EPA have an updated view on the emissions reduction potential originally estimated here <http://www.epa.gov/otaq/climate/kerry-analysis-02-18-2010.pdf> in response to a request from then Sen Kerry? More specifically:

## Ex. 5 - Deliberative

The most efficient way to tackle this might be to sit down in person but I'm also reachable at

Ex. 6 - Privacy

Thanks,  
Rick

**To:** Tsirigotis, Peter[Tsirigotis.Peter@epa.gov]  
**From:** McCabe, Janet  
**Sent:** Mon 8/11/2014 12:54:14 AM  
**Subject:** FW: 2nd note--things from friday CAP meeting with Gina and friday 111d meeting

Not much in here we didn't talk about....

---

**From:** McCabe, Janet  
**Sent:** Saturday, August 9, 2014 2:39 PM  
**To:** Goffman, Joseph  
**Subject:** 2nd note--things from friday CAP meeting with Gina and friday 111d meeting

It was me, Alex B, and Mark Rupp for the CAP meeting this week. it was good, though--gave me a chance to bring up some stray 111d things I didn't particularly want to raise in the larger group.

# Ex. 5 - Deliberative

# **Ex. 5 - Deliberative**

**To:** LeFranc, Maurice[LeFranc.Maurice@epa.gov]  
**Cc:** Niebling, William[Niebling.William@epa.gov]  
**From:** McCabe, Janet  
**Sent:** Sat 5/10/2014 12:04:36 AM  
**Subject:** Re: S&ED Climate Change Working Group


I think so. We can prep him appropriately.

---

**From:** LeFranc, Maurice  
**Sent:** Tuesday, May 06, 2014 4:31:14 PM  
**To:** McCabe, Janet  
**Cc:** Niebling, William  
**Subject:** Re: S&ED Climate Change Working Group

Avi's trip got postponed so trying to pair it up with S+ED. Are you ok with Avi covering Climate Policy Dialogue if Todd's sets up senior level meeting in Beijing?

Sent from my BlackBerry 10 smartphone on the Verizon Wireless 4G LTE network.



Ok--that explains avi's request for an overall china briefing a while back.

---

**From:** LeFranc, Maurice  
**Sent:** Tuesday, May 06, 2014 10:22:09 AM  
**To:** McCabe, Janet  
**Cc:** Niebling, William  
**Subject:** FW: S&ED Climate Change Working Group

Janet:

See email below. Jane is not going to S&ED but seems Avi might attend. The nature of the Climate Policy Dialogue has not yet been finalized – waiting for a discussion between Todd and Xie (NDRC) later this week. I will keep you posted.

Maurice

**From:** Kasman, Mark  
**Sent:** Tuesday, May 06, 2014 11:15 AM



**To:** LeFranc, Maurice; Niebling, William  
**Subject:** RE: S&ED Climate Change Working Group

Hi Maurice,

The intention for this S&ED is to send General Counsel Avi Garbow. Unfortunately, it looks like I would also go to staff him. If high level is needed, Avi could represent at the Climate Policy Dialogue. While in China, Avi would also hold the Environmental Legislation Seminar and PRTR Workshop he had initially planned to hold in May. Right now, we do not expect Jane to go for the S&ED. EAP is aware of this plan, but I'm not sure if anyone in Todd's office is aware.

Mark

**From:** LeFranc, Maurice  
**Sent:** Tuesday, May 06, 2014 10:55 AM  
**To:** Kasman, Mark; Niebling, William  
**Subject:** RE: S&ED Climate Change Working Group

Mark:

On the climate side (or activities related to Climate Change Working Group) there is still a lot up in the air – or perhaps better to describe it as “there is still a lot that State keeps changing its mind on.”

## Ex. 5 - Deliberative

# Ex. 5 - Deliberative

I look forward to hearing from you.

Thank you.

Maurice

**From:** Kasman, Mark

**Sent:** Monday, May 05, 2014 11:15 AM  
**To:** LeFranc, Maurice; Niebling, William  
**Subject:** S&ED Climate Change Working Group

Maurice/William,

Any thoughts on who from OAR may attend July S&ED Climate Change Working Group and/or Climate Change Dialogue held in conjunction with the S&ED? State is asking us for potential EPA delegation.

Mark

Mark S. Kasman

Senior Advisor, Asia Pacific Program

Office of International and Tribal Affairs

U.S. Environmental Protection Agency

1300 Pennsylvania Avenue, N.W. (2650R)

Washington, D.C. 20460

202-564-2024

**To:** Nishida, Jane[Nishida.Jane@epa.gov]  
**From:** McCabe, Janet  
**Sent:** Sat 3/8/2014 12:40:08 AM  
**Subject:** Re: Draft Weekly Report on China

Thanks Jane--do you want to note anything more about the document and the purpose of the meeting--to get all the agencies' general agreement on the document, which is intended to lay out the major efforts of the USG wrt China? And that for the most part our activities are all covered in it--with the exception of the two you mentioned.

---

**From:** Nishida, Jane  
**Sent:** Friday, March 07, 2014 6:08:50 PM  
**To:** McCabe, Janet  
**Subject:** Draft Weekly Report on China

As we discussed, I have prepared the following item on today's China meeting which would be included in OITA's Weekly Report. Let me know if you have any edits.

-  
US-China Priorities for 2014

# Ex. 5 - Deliberative

**To:** Fritz, Matthew[Fritz.Matthew@epa.gov]; Nishida, Jane[Nishida.Jane@epa.gov]  
**From:** McCabe, Janet  
**Sent:** Mon 2/24/2014 7:03:06 PM  
**Subject:** Fw: Principals mtg tomorrow  
China Energy and Climate Priorities.docx

Matt--can you let us know if gina feels like she's got what she needs in advance of this china principals' mtg? I'm in San Diego and our china climate expert, Maurice Lefranc, is actually IN china this week. But let us know.

---

**From:** Nishida, Jane  
**Sent:** Monday, February 24, 2014 12:36:47 PM  
**To:** Herckis, Arian; McCabe, Janet; Dubin, Noah; Geller, Michael; Atkinson, Emily  
**Subject:** RE: Principals mtg tomorrow

Thanks for the heads up. In addition to the briefing materials that OAR submitted last week for the Secretary Kerry and Moniz meeting today, I would include the attached summary of the NSS Deputies Meeting on China Priorities for 2014 that Bob and I attended on February 11.

Jane

-----Original Message-----

**From:** Herckis, Arian  
**Sent:** Monday, February 24, 2014 8:44 AM  
**To:** McCabe, Janet; Nishida, Jane; Dubin, Noah; Geller, Michael; Atkinson, Emily  
**Subject:** Principals mtg tomorrow

Please be aware that the Administrator is confirmed to attend a Principals mtg tomorrow on China 2014 priorities, called by the National Security Council. I have no additional information re: the mtg at this point but if I receive more I will be sure to share that with everyone. Please submit briefing materials as appropriate.

**To:** **Ex. 6 - Privacy, Administrator McCarthy**; Nishida, Jane[Nishida.Jane@epa.gov]; KeyesFleming, Gwen[KeyesFleming.Gwendolyn@epa.gov]  
**From:** McCabe, Janet  
**Sent:** Sat 2/22/2014 3:37:31 AM  
**Subject:** FW: Meeting between Secretary Moniz and our Administrator

gina--below is a message from Jonathan Pershing identifying some issues that Secretary MOniz may bring up mondayl.

---

**From:** LeFranc, Maurice  
**Sent:** Friday, February 21, 2014 7:22 PM  
**To:** Pershing, Jonathan; Goffman, Joseph; McCabe, Janet  
**Subject:** Re: Meeting between Secretary Moniz and our Administrator

JP:

Sorry for delay. This is all consistent with what we have teed up for Gina. Hope it turns out to be a good meeting.

Maurice

---

**From:** Pershing, Jonathan <Jonathan.Pershing@Hq.Doe.Gov>  
**Sent:** Thursday, February 20, 2014 8:09:15 PM  
**To:** LeFranc, Maurice; Goffman, Joseph; McCabe, Janet  
**Subject:** RE: Meeting between Secretary Moniz and our Administrator

Maurice et al --

Thanks for input. We are having a meeting tomorrow with our Secretary to discuss more specifically, but

(b)(5) deliberative

# Ex. 5 - Deliberative

Let me know if anything here gives you heartburn. I will give you a heads up if additional items come along after I talk to him.

J

-----Original Message-----

**From:** LeFranc, Maurice [mailto:LeFranc.Maurice@epa.gov]  
**Sent:** Thursday, February 20, 2014 5:55 PM  
**To:** Pershing, Jonathan; Goffman, Joseph; McCabe, Janet  
**Subject:** Meeting between Secretary Moniz and our Administrator

Jonathan:

Hope you are well. Joe asked me to follow up on your email about Monday's meeting (I have been

leading on this).

We can connect tomorrow with more detail but as a first cut, the Administrator would like to spend most if not all of the meeting on China. She can share her experiences/observations from her recent trip as well as cover some of the work we are doing. I believe she would like to discuss

**Ex. 5 - Deliberative**

**Ex. 5 - Deliberative**

Are there specific areas your Secretary would like to cover?

Thanks.

Maurice

**To:** Stewart, Lori[Stewart.Lori@epa.gov]  
**Cc:** Atkinson, Emily[Atkinson.Emily@epa.gov]  
**From:** McCabe, Janet  
**Sent:** Sun 1/12/2014 12:55:05 AM  
**Subject:** Re: One-pager for the Todd Stern meetings

Ok. Whatever people think, I just don't see how we fit in a prebrief next week. It'll be fine.

---

**From:** Stewart, Lori  
**Sent:** Saturday, January 11, 2014 11:08:18 AM  
**To:** McCabe, Janet  
**Cc:** Atkinson, Emily  
**Subject:** Fw: One-pager for the Todd Stern meetings

Janet, apparently there was a difference of opinion btw Maurice and Sarah regarding the need for a pre-brief for the Todd Stern Meetings (there is more background I can share later). Maurice isn't available on Monday during your break so I think the 10:00 call should come off. I will resend the bullets Maurice had originally done on Monday morning and then we can see if you feel the need for more info. - if this works for you.

---

**From:** LeFranc, Maurice  
**Sent:** Saturday, January 11, 2014 2:41:08 PM  
**To:** Stewart, Lori; Sowell, Sarah; Evarts, Dale  
**Subject:** Re: One-pager for the Todd Stern meetings

Lori:

I just looked at my calendar for the week and have an ICAO stakeholder meeting at FAA from 10:00 to 12:00 Monday. I can't participate in a call and don't see the need for the half hour Monday to prep for the Todd meeting. I plan on getting a couple of additional points to Janet on Monday in her reading file. Otherwise I got her what she had asked me for.

Thanks - hope you have a good weekend.  
Maurice  
Maurice

---

**From:** Stewart, Lori  
**Sent:** Friday, January 10, 2014 6:16:27 PM  
**To:** LeFranc, Maurice; Sowell, Sarah; Evarts, Dale  
**Subject:** RE: One-pager for the Todd Stern meetings

If you guys don't think this is needed, I think Janet might be fine with the first set of points Maurice sent up, pasted below. Emily scheduled a call on Monday from the auto show, but we can also nix that if you don't think it is needed. Let's touch base Monday morning.

Here are the previous points Maurice had sent:



# Ex. 5 - Deliberative

**From:** LeFranc, Maurice  
**Sent:** Friday, January 10, 2014 5:56 PM  
**To:** Sowell, Sarah; Evarts, Dale  
**Cc:** Stewart, Lori  
**Subject:** Re: One-pager for the Todd Stern meetings

I sent an email last week (at Janet's request) that simply listed topics/issues that might come up with Todd - I did not include anything about Gina's China trip nor talking points for topics.

If Dale wants to provide a one-pager on the China trip that would add to the mix. But I don't believe the meeting between Janet and Todd will be focused on China.

In addition, I was going to follow up with Janet on Monday on the outcome of my call with Dave - which doesn't warrant a one-pager - just an email. Both Dave and I agree that this meeting is mainly meet and greet for both Janet and Todd.

---

**From:** Sowell, Sarah  
**Sent:** Friday, January 10, 2014 5:04:02 PM  
**To:** Evarts, Dale; LeFranc, Maurice  
**Cc:** Stewart, Lori  
**Subject:** FW: One-pager for the Todd Stern meetings

Dale and Maurice,

I will leave this in your capable hands. I'm definitely not in the best (or even a good) position to pull this together since I didn't go to China, wasn't on the call with DOS today (scheduling conflict on my part), and don't deal with the climate piece. Also, since Maurice was planning to touch base with David Turk, he's the keeper of that intel as well.

Maurice – I understand from Lori that you either provided Janet with some points or have talked to her. If the former – might be good for you to share those with Dale to include in the one-pager. If the latter and/or there's something from your conversation with David Turk that should be included, please share that with Dale and me.

Thanks,

Sarah

**From:** Stewart, Lori  
**Sent:** Friday, January 10, 2014 4:54 PM  
**To:** Sowell, Sarah; Maurice LeFranc  
**Subject:** One-pager for the Todd Stern meetings

Janet's schedule is just crazy next week. After a fair amount of discussion at the scheduling meeting she ultimately suggested you share a one-pager (or a bit longer if necessary) with key points. Also, Maurice will be joining her for the meetings, right? She feels Gina will be quite comfortable discussing China with Todd on her own.

**To:** McCabe, Janet[MCCabe.Janet@epa.gov];

**Ex. 6 - Privacy, Janet McCabe**

**From:** McCabe, Janet

**Sent:** Fri 12/20/2013 12:42:20 PM

**Subject:** FW: International Background info

[Summary of COP19 Warsaw.pdf](#)

[3-0a TF SPM recommendations 2May11 final\[1\].pdf](#)

[MM08 Final Kiruna declaration w signature\[1\].pdf](#)

[Report of the CCWG 7-9-2013 FINAL English \(2\).docx](#)

[CCAC Slides for Janet Briefing lefranc.pptx](#)

[Getting the U S -China Climate Partnership Right.mht](#)

[U S -China Climate Change Working Group Fact Sheet.mht](#)

[Report of the U S -China Climate Change Working Group to the Strategic and Economic Dialogue.mht](#)

[CAR Fact Sheet.docx](#)

[CAR2014 12-16-13.pdf](#)

---

**From:** Stewart, Lori

**Sent:** Thursday, December 19, 2013 2:50 PM

**To:** McCabe, Janet

**Subject:** International Background info

Janet, Maurice has provided this combination of documents (which we can print if that is best for Will) and web-references on the topics in Joel's list. We also have a binder on China. Would you like me to contact Will to what the best route is to get this to him?. I am thinking he might actually prefer to receive it electronically, with the exception of the China binder. Thanks.

---

**From:** LeFranc, Maurice

**Sent:** Wednesday, December 18, 2013 10:47 AM

**To:** Stewart, Lori; Knapp, Kristien

**Cc:** LeFranc, Maurice

**Subject:** Files as requested

Lori/Kristien:

Here are the background files and links that you requested. I tried to organize by topic to make it easier to follow.

Maurice

**United Nations Framework Convention on Climate Change (UNFCCC) - COP 19**

<http://unfccc.int/2860.php>

## **Sixth Climate Action Report/Biennial Report to the UNFCCC**

### **Arctic Council**

<http://www.arctic-council.org/index.php/en/>

### **U.S. China Climate Change Working Group**

### **Climate and Clean Air Coalition**

<http://www.unep.org/ccac/>

### **Montreal Protocol**

<http://www.epa.gov/ozone/intpol/>

### **Convention on Long-range Transboundary Pollution (CLRTAP)**

<http://www.unece.org/env/lrtap/>

### **U.S.-Canada Air Quality Agreement**

<http://www.epa.gov/airmarkets/progsregs/usca/index.htm>

### **Trade-related links**

#### **TTIP**

[http://ec.europa.eu/trade/policy/in-focus/ttip/#what\\_is\\_ttip](http://ec.europa.eu/trade/policy/in-focus/ttip/#what_is_ttip)

<http://www.ustr.gov/about-us/press-office/fact-sheets/2013/june/wh-ttip>

<http://www.eenews.net/greenwire/2013/12/17/stories/1059991993>

#### **TPP**

<http://www.ustr.gov/about-us/press-office/fact-sheets/2011/november/united-states-trans-pacific-partnership>

<http://www.ustr.gov/about-us/press-office/press-releases/2013/December/Transcript-Briefing-by-Ambassador-Froman>

<http://www.ustr.gov/about-us/press-office/fact-sheets/2013/December/TPP-Economic-Benefits>

### **A bit on two (of the many) bilateral trade agreements to which the U.S. is a party**

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Maurice N. LeFranc, Jr.  
Senior Advisor for International Climate Change  
Office of Air and Radiation  
U.S. Environmental Protection Agency  
Office Phone: 202-564-1813  
Mobile: 202-450-7863

**To:** William Niebling Ex. 6 - Privacy  
**From:** McCabe, Janet  
**Sent:** Fri 12/20/2013 12:40:44 PM  
**Subject:** FW: International Background info  
[Summary of COP19 Warsaw.pdf](#)  
[3-0a TF SPM recommendations 2May11 final\[1\].pdf](#)  
[MM08 Final Kiruna declaration w signature\[1\].pdf](#)  
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[CAR Fact Sheet.docx](#)  
[CAR2014 12-16-13.pdf](#)

You asked for it! Here are some materials electronically, but if it would be easier for you to have them printed out and you can come by to get them, let us know. As noted, we do have a binder on China that we could lend you. I feel like I read should read all this stuff too!

I hope this got to you in time, and happy reading!

---

**From:** Stewart, Lori  
**Sent:** Thursday, December 19, 2013 2:50 PM  
**To:** McCabe, Janet  
**Subject:** International Background info

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<http://www.ustr.gov/about-us/press-office/fact-sheets/2013/june/wh-ttip>

<http://www.eenews.net/greenwire/2013/12/17/stories/1059991993>

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Maurice N. LeFranc, Jr.

Senior Advisor for International Climate Change

Office of Air and Radiation

U.S. Environmental Protection Agency

Office Phone: 202-564-1813

Mobile: 202-450-7863

**To:** McCabe, Janet[McCabe.Janet@epa.gov]  
**From:** McCabe, Janet  
**Sent:** Fri 12/20/2013 5:02:14 AM  
**Subject:** FW: International Background info  
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**Subject:** International Background info

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**Cc:** LeFranc, Maurice  
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<http://www.ustr.gov/about-us/press-office/fact-sheets/2013/march/us-korea-agreement-bringing-benefits>

Maurice N. LeFranc, Jr.

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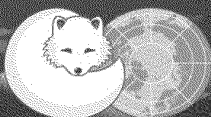
U.S. Environmental Protection Agency

Office Phone: 202-564-1813

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Arctic Council Task Force on Short-Lived Climate Forcers

# Progress Report and Recommendations for Ministers



ARCTIC COUNCIL  
2011

CBD0000898

# Arctic Council Task Force on Short-Lived Climate Forcers

**NOTE:** Not all of the measures outlined herein will prove equally appropriate or feasible in all Arctic Council member nations. Rather, they represent a preliminary menu of non-binding, potential immediate measures in accordance with the Tromsø mandate. The menu of potential measures contained herein does not represent a quantitative ranking that accounts for costs or other factors that Arctic nations may wish to consider, such as total potential for emission reduction, potential Arctic climate benefit, and potential health benefits. It will be up to individual Arctic governments and their jurisdictions, and Council bodies, to determine which measures will provide the greatest national and Arctic benefits in accordance with national circumstances and policy and legislative frameworks.

## Progress Report and Recommendations for Ministers

The Arctic Council Ministerial Tromsø Declaration from April 2009 created the Task Force, charging it

*to identify existing and new measures to reduce emissions of these [short-lived climate] forcers and recommend further immediate actions that can be taken and to report on progress at the next Ministerial meeting*

In November 2009, the Senior Arctic Officials (SAOs) further refined this charge through the approval of Operating Guidelines that agreed the Task Force could initially focus on black carbon; include national representatives, permanent participants, and a variety of experts; cooperate closely with the Arctic Monitoring and Assessment Program (AMAP) Short-Lived Climate Forcers (SLCFs) Expert Group; and report periodically back to the SAOs on progress.

The focus on black carbon does not represent a judgment by the Task Force that black carbon is more important than methane or other climate forcers in terms of Arctic impacts. Rather, this focus acknowledges the unique role black carbon may be playing in the Arctic, its need for study as a frontier area of science, and the need for new technical analyses and emission inventories to inform the Task Force's recommendations regarding black carbon emission reduction measures.

The Task Force has developed an underlying technical report focusing on emission trends and projections, existing policies and programs, and potential mitigation options for black carbon. This technical information, plus the scientific findings of AMAP<sup>1</sup> and other completed assessments, is informing the Task Force's key findings and recommendations contained herein. For findings and conclusions of the AMAP Expert Group, the Task Force refers to their report.

<sup>1</sup> AMAP (2011) *The Impact of Black Carbon on Arctic Climate* by Quinn et al. Note also that a pre-publication version of the Summary for Decision Makers of the UNEP/WMO report *Integrated Assessment of Black Carbon and Tropospheric Ozone* is now available.



## Key Findings

*Carbon dioxide emissions are the dominant factor contributing to observed and projected rates of Arctic climate change. However, addressing short-lived climate forcers, such as black carbon, methane, and ozone, offers unique opportunities to slow Arctic warming in the near term.*

*Black carbon emitted both within and outside of the Arctic region contributes to Arctic warming. Per unit of emissions, sources within Arctic Council nations generally have a greater impact.*

Reducing emissions from any black carbon source will likely benefit the Arctic climate system, but analysis by AMAP and others indicates that mitigating in- or near-Arctic sources will have a greater Arctic climate impact than the size of these sources alone would indicate. Nevertheless, because emission sources outside of Arctic Council nations are large, these are also important in terms of Arctic climate change.

*There are strong regional differences between the climate effects of black carbon sources in the Arctic versus most other parts of the world.*

Scientific uncertainty remains about the magnitude and nature of the climate impact of black carbon emissions globally. In addition, sources of black carbon emit a complex mixture of substances, some of which may cool the climate, such as organic carbon or sulphates. However, in the Arctic, the potential for such offsetting effects from non-black carbon aerosols is weaker, as suggested by recent AMAP analyses. Over highly reflective surfaces, such as ice and snow in the Arctic, the same substances that might cool the climate in other regions may cause warming because they are still darker than ice and snow. This warming impact is magnified when black carbon physically deposits on ice or snow. Emissions closer to the Arctic have a greater chance of depositing, and thus appear to have greater impact per unit of emission. Despite these facts, which lead to greater confidence in the net warming effect of black carbon sources in the Arctic, the exact magnitude of this warming remains an area of scientific uncertainty and hence subject to continued active research.

*Unlike the case for methane and other well-mixed greenhouse gases, the most effective black carbon control strategies for Arctic climate benefits will vary by location and season.*

*Additional measurements, research, and analysis will be needed to better identify which specific black carbon mitigation measures—both inside and outside of Arctic Council nations—will lead to the largest Arctic climate benefits.*

Black carbon concentrations in the atmosphere are variable from one region to another, and over different seasons, because black carbon remains in the atmosphere for only days to weeks. This means Arctic impacts will vary with the black carbon source and location and with the timing or season of emission (which influences how much sunlight is available). Greater understanding of these factors as they apply to specific emission sources in specific locations will help ensure selection of effective controls. Importantly, these scientific uncertainties do not call into question the fact that the recommended measures would reduce the emissions of black carbon.

*Controls on black carbon sources that reduce human exposure to particulate pollution improve health, and in that regard many measures can be considered no regrets.*

Measures aimed at decreasing black carbon emissions have positive health effects for any community exposed to the particulate matter emissions containing black carbon. The Task Force therefore wishes to stress that many early mitigation measures can be considered “no regrets” because of health co-benefits, including reductions in premature deaths and avoided health care costs, despite remaining uncertainty in quantifying the Arctic climate benefits. A key consideration for the Arctic Council in future measures should be the impact on and benefits to all Arctic communities, including indigenous peoples and others affected by exposure to black carbon particulate pollution.

*The largest sources of black carbon emissions in Arctic Council nations have been identified.*

The largest Arctic regional emission sources arise from **land-based transportation** (primarily on-road and off-road diesel vehicles), **open biomass burning** (agricultural burning, prescribed forest burning, and wildfires), and **residential heating**. **Marine shipping** constitutes a potentially significant source, especially in the Arctic due to its projected increase over time and its proximity to snow and ice. **Gas flaring** is a source that requires special attention to improve the understanding of its size and importance.

*To maximize climate benefits, particulate matter (PM) control programs should aim to achieve maximum black carbon reductions.*

No Arctic Council nations currently control black carbon emissions per se. Although PM controls do help to decrease black carbon emissions, the effect of these controls on black carbon emissions are not always proportionate. This is because the amount of black carbon in directly emitted PM varies by source, and also because PM mitigation programs that focus on sulphur and nitrogen oxides may not lead to reductions in black carbon. Therefore, black carbon-specific efforts for regional climate purposes can be worthwhile as a complement to existing PM controls for health and environmental purposes.

***Total Arctic Council black carbon emissions are projected to decrease if existing and planned land-based transportation regulations are effectively implemented, although this is not uniform across countries or sectors.***

Overall black carbon emissions from Arctic Council nations have been projected to decrease in the coming two decades as a result of existing and planned regulation of PM emissions from land-based transportation sources. These controls are motivated by health and other, non-climate environmental impacts. The rate and magnitude of this decrease will, however, depend on how quickly and effectively this legislation is implemented and on how rapidly older vehicles not covered by the new legislation are retrofitted or retired from use.

***Emissions from sources other than land-based transportation will likely remain the same or increase without new measures.***

Few existing or planned regulations in Arctic Council nations will lead to decreases in black carbon emissions from residential heating, open burning, and marine shipping. Emissions from residential heating may grow because many Arctic nations have turned to wood fuel in recent years. As marine shipping increases in general and in the Arctic, black carbon emissions may increase in close proximity to Arctic snow and ice. Without new policies or measures, there is also no compelling reason to expect a downward trend in emissions from open burning. As a result, there remains much that Arctic Council nations can do to further decrease their own black carbon emissions.

***Cooperation in other international forums is needed.***

Although sources within the Arctic region are important, work by the AMAP Expert Group and others indicates that a significant share of black carbon impacting the Arctic appears to come from outside Arctic Council nations. As a result, cooperation with related efforts of other forums, such as the International Maritime Organization (IMO), the Convention on Long-Range Transboundary Air Pollution (CLRTAP), the United Nations Environment Programme (UNEP), and the UN Framework Convention on Climate Change (UNFCCC), as well as non-Arctic Council nations, is key to addressing the near-term impact of SLCFs in the Arctic, especially as a co-benefit of air pollution control efforts. The Arctic Council could help inform these processes about the role of SLCFs and Arctic impacts as part of an overall climate strategy.



# Recommendations for the Arctic Council and Its Member Nations

***Based on the key findings, the Task Force recommends that Arctic Council nations individually and collectively work to implement some early actions to reduce black carbon.***

The Task Force believes there can be a leading role for the Arctic Council and Arctic nations in highlighting the importance of Arctic climate protection, not only for the Arctic region and its people but also for the global climate system, and highlighting the role that black carbon may play in Arctic climate protection strategies. By taking a leading role on black carbon through voluntary or other national and international actions, the Arctic nations could also contribute to future initiation of SLCF efforts in other regions where black carbon sources are found to have specific regional climate impacts.

***The Task Force recommends that Arctic Council nations continue their efforts to estimate and develop black carbon emission inventories and to voluntarily and periodically share these inventories.***

There is still considerable uncertainty regarding the quantification of black carbon emissions, particularly from sources such as open burning and gas flaring. The emissions inventory work undertaken to support the Task Force has been of significant value to identify important emission trends and additional mitigation opportunities. This work should continue and be strengthened in close coordination with scientific work on impacts as noted elsewhere in this document. The Task Force also notes that the Executive Body under CLRTAP—to which all eight Arctic Council nations are party—recently decided to include consideration of black carbon in the revision of the Gothenburg Protocol and also called for work on guidelines for black carbon inventories (as well as ambient monitoring and source measurement) with a view to begin voluntary national reporting in the near future.

***The Task Force recommends that Arctic Council nations consider specific mitigation options for the transportation, residential, open burning, and shipping sectors, and that they periodically share information on progress in reducing their black carbon emissions.***

Not all of the measures outlined below will prove equally appropriate or feasible in all Arctic Council nations. Rather, they represent a menu of potential immediate and no-regrets measures in accordance with the Tromsø mandate. The menu of potential measures contained herein does not represent a quantitative ranking that accounts for costs or other factors that Arctic nations may wish to consider, such as total potential for emission reduction, potential Arctic climate benefit, and potential health benefits. It will be up to individual Arctic governments and their jurisdictions, and Council bodies, to determine which measures will

provide the greatest national and Arctic benefits, in accordance with national circumstances and policy and legislative frameworks.

The Task Force would also note that many of these measures may be suitable for implementation by Permanent Participant members and other local communities, and may apply to Council Observer and other non-Arctic Council nations, particularly those at higher latitudes or engaging in near- or within-Arctic activities. Some of these actions may also prove beneficial to other glacier-, snow-, and ice-dominated regions of the world.

***Measures to reduce black carbon from transportation, especially diesel powered, could include more retrofitting of older vehicles and equipment; retirement of old engines, vehicles, and equipment; and enhancing or expanding current controls to the extent that PM standards are not in place.***

On- and off-road diesel vehicles are a large source of black carbon emissions and are already subject to regulation in all Arctic Council nations for emissions of PM. Most Arctic nations already have regulations for *new* on- and off-road diesel engines that are either in effect or will become active by 2020, which require manufacturers of these vehicles to implement technologies that should reduce black carbon emissions by over 90% compared to pre-regulation engines. Early measures would therefore involve more retrofitting of older and high-emitting vehicles and equipment, enhancing current controls on existing vehicles and equipment, or accelerating the timeline or broadening the scope of existing regulations for new engines. Such measures—all of which have strong health co-benefits—could include the following:

- accelerated implementation of ultralow sulphur diesel (ULSD) requirements for both on- and off-road diesel fuels (an important prerequisite to black carbon reductions), accompanied by emissions controls to reduce diesel PM;
- development and implementation of particulate emission standards enforcing use of particulate traps for new engines of on- and off-road vehicles, mobile machinery, locomotives, and certain marine vessels where such standards may not be in place;
- retrofitting of existing older and high-emitting vehicles and equipment with particle filters through regulation or voluntary subsidy programs;
- retirement or replacement of the dirtiest existing sources (especially those not easily fitted with filters) through regulation or financial incentives; guidelines for early retirement or scrappage programs should ensure that the original engine is either destroyed or, when possible, returned to the manufacturer to be remanufactured to cleaner emission standards;
- coordinated campaigns for better enforcement of new standards, more stringent inspection requirements, and encouragement of better maintenance practices;
- introduction or expansion of “green zones” that ban or require special fees for vehicles with high particle emissions; and
- reducing truck and off-road idling through regulation, education, or rest stop electrification; additional vehicle efficiency programs; addition of auxiliary power units on non-road equipment; and use of smart transportation algorithms.

***Similar retrofit retirement or replacement measures could be applied to reduce black carbon emissions from stationary engines and equipment.***

This might apply to diesel generators in High Arctic communities, especially indigenous communities solely dependent on such generators for electricity, and to coordinated campaigns for better enforcement of new standards, more stringent inspection requirements, and encouragement of better maintenance practices.

***Measures to reduce black carbon from residential heating could include standards, change-out programs, technologies for more efficient combustion, and retrofits addressing wood stoves, boilers, and fireplaces.***

Wood stoves and boilers have emerged as a leading target for black carbon mitigation strategies because they represent a major source of black carbon emissions in the Arctic. Wood burning also produces emissions of methane and ozone precursors. Although some countries do regulate particle emissions from these stoves and boilers, control measures may not always capture black carbon emissions. Many homes in Arctic Council nations have transitioned from oil to wood over the past decade, a trend that is expected to continue. Many who use wood stoves are located in the more near-Arctic regions, and the emissions are therefore more likely to be transported to the Arctic. Although planned stove replacement campaigns and particle emissions controls may reduce black carbon emissions in some areas, without new measures, overall emissions from this sector are projected to remain steady or increase by 2030. New technologies may enable highly effective mitigation measures to improve both health and climate. The following measures offer potential for reductions of black carbon emissions in this sector:

- implementation of stringent black carbon emissions standards or stricter PM standards, regulations, and inspection regimes for stoves and boilers;
- development of point-of-manufacture certification programs for stoves and boilers meeting emissions and performance standards;
- voluntary old stove/boiler change-out programs and incentives for newer models that emit less black carbon;
- increased combustion efficiency;
- boiler retrofits, for example, with accumulator tanks; and
- operator education campaigns (best fuels and burning techniques).

***To reduce black carbon from agricultural burning, prescribed forest burning, and wildfires, measures could include demonstration projects for management alternatives to burning, prevention of accidental fires, and greater resources devoted to fire monitoring and prevention. When controlled burning is necessary, such as when fire plays a critical and natural ecological role, management techniques may help reduce emissions or limit their impacts.***

All forms of open biomass burning release much larger amounts of organic carbon compared to black carbon. Therefore, the contribution of these emissions to global warming may be unclear; however, the work of the AMAP Expert Group suggests that, because of the reflective Arctic surface, emission reductions of black carbon and organic carbon from biomass burning near or within the Arctic are likely to help slow Arctic warming. Agricultural and forest burning and wildfires also release significant amounts of carbon dioxide, carbon monoxide, methane, and other air pollutants.

Agricultural burning and prescribed forest burning appear to be a very significant source of black carbon in the Arctic. Depending on local conditions, alternatives to agricultural burning or prescribed forest burning may raise other environmental issues, especially for fire-dependent ecosystems.

Wildfires are also a large emission source that will not always be subject to control. Although in some regions these wildfires are primarily the result of lightning strikes, in other areas wildfires may begin as intentionally set fires that subsequently burn out of control.

Options for reducing black carbon from agricultural burning, prescribed forest burning, and wildfires include the following:

- technical assistance (seminars, exchanges) and micro-financing assistance to foresters and farmers to encourage the use of no-burn methods, such as either conservation tillage or soil incorporation;
- demonstration projects and exchange of information to show the efficacy of no-burn methods, both bilaterally and as exchanges between national and sub-national governments of Arctic Council nations or organizations, and through joint Council projects;
- development of fire management programs and strategies aimed at preventing accidental wildfires and avoiding unnecessary application of fire in land management (information campaigns aimed at decreasing such fires may represent a relatively low-cost way to decrease black carbon emissions);
- for controlled burns where necessary in forestry or agriculture, use of more efficient and controlled burning techniques or measures to control the timing of burns, and mechanical removal of material before the burn for possible use in energy or biochar production;
- expansion of resources for fire monitoring, fire management decision support, and fire response.

***Measures to reduce black carbon from marine shipping in and near the Arctic could include Council-wide adoption of voluntary technical and non-technical measures, adoption of the proposed amendment of MARPOL Annex VI to establish an Energy Efficiency Design Index, and collaboration with IMO on certain other actions.***

Marine shipping in the region is a relatively small source of black carbon, but it is potentially high in impact due to its proximity to snow and ice, and may increase significantly due to projected increases in global ship traffic as well as decreases in summer sea ice cover. Shipping is also a significant source of the precursors that lead to higher levels of local

ozone, impacting health as well as climate. The Arctic Council nations comprise 90% of current shipping activities in the region; they therefore have a unique ability to influence the development of future black carbon emissions from this sector by enacting early voluntary measures and engaging in international regulatory regimes such as the IMO:

- voluntary measures by all eight Arctic Council nations to decrease black carbon emissions and encouragement of vessels (especially cruise ships) flagged in non-Arctic Council nations and operating in the Arctic to adopt these measures as well;
- support by all eight Arctic nations of the current IMO submission on black carbon by Norway, Sweden and the United States, which raised the importance of black carbon emissions from shipping on the Arctic climate and identified a range of technical and operational measures (e.g., speed reduction, improved engine tuning, energy efficiency enhancements, better fuel injection, or use of diesel particulate filters);
- adoption by all eight Arctic Council nations of the proposed amendment of MARPOL Annex VI to establish an Energy Efficiency Design Index for new ships; and
- ongoing provision of new scientific and technical developments to the IMO by AMAP and other Arctic Council working groups, and vice versa.

***For gas flaring, it is premature to identify specific black carbon mitigation options, but increased research and better emission inventories are recommended to improve understanding of the significance of this source.***

The significance of black carbon emissions from gas flaring remains highly uncertain but is a source of potential concern in the High Arctic, especially as oil and gas activities expand. More effective methods to quantify black carbon emissions from flaring are currently being developed through, for example, a Canadian research effort involving Carleton University and Natural Resources Canada, and efforts by Norway to engage the oil and gas private sector. Resources should be made available to support such efforts. Oil and gas activities also constitute a very large Arctic source of methane emissions, and such studies could determine methane emissions and leakage in parallel to work on black carbon:

- funding immediate work on in-field measurements and scientific and technical analysis, in concert with the private sector, aimed at filling current information gaps;
- obtaining better black carbon emissions data, as well as location and other basic information on gas flaring practices;
- providing information on best practices and regulatory options from the energy industry where there has been progress in reducing flaring (e.g., Canadian provinces such as Alberta);
- ensuring coordination with other international efforts addressing venting and flaring, such as the Global Gas Flaring Reduction Partnership and Global Methane Initiative.

***Arctic Council actions on black carbon mitigation offer an important leadership opportunity to promote near-term Arctic climate protection.***

Arctic Council nations have an interest in encouraging non-Arctic countries to reduce black carbon emissions because of the size and potential Arctic climate impact of these emissions from non-Arctic Council nations.

Some of the lessons learned in addressing black carbon can be exchanged between the Arctic Council nations and other snow- and ice-dominated regions of the world that may also be impacted by black carbon emissions:

- As black carbon discussions expand in other forums, the Arctic Council can play an important leadership role by communicating the importance of action on black carbon; demonstrating application of appropriate control measures; and conveying the importance of near-term Arctic climate protection to other forums, such as UNEP and UNFCCC.
- Enhanced collaboration with other SLCF efforts, such as those in CLRTAP and its various working groups, IMO, UNEP, and UNFCCC should be pursued.
- Arctic Council Observer nations may have a special role in joining and cooperating in these outreach efforts, as well as participating in Council SLCF initiatives.

## Future of Arctic Council Work on Short-Lived Climate Forcers

*The Task Force urges the Arctic Council and Council nations to carefully consider the findings and recommendations contained herein in order to help identify future priority work areas. The Task Force also recommends that the information contained herein be viewed in combination with other relevant information, such as the results from the AMAP Expert Group.*

Because of the need to consider the near-term Arctic climate benefits of addressing all short-lived climate forcers, including methane and ozone, as well as the need to continue to improve our understanding of the black carbon mitigation measures that will have the greatest Arctic climate benefit, *the Task Force recommends that the Arctic Council continue its work in this area.*

For black carbon measures, the Task Force has identified key areas that may require improved information to assist decision making by Arctic Council nations, such as the costs of implementing certain measures, the additional emission reduction potential of some measures, potential Arctic climate benefits, and potential health benefits.

Because scientific understanding of the role of SLCFs in the Arctic climate continues to evolve, and other bodies such as CLRTAP, UNEP, and the UNFCCC have moved to address at least some of the SLCFs, the Task Force or other body should be charged with bringing to the Council appropriate updates and recommendations on a continual basis as appropriate opportunities present themselves.

In addition, consistent with the Task Force's recommendations that Arctic Council nations gather and share information on black carbon, *consideration should be given to mechanisms for facilitating the sharing of information on emissions, impacts, and mitigation options across Arctic Council nations. This information should also be made available to AMAP and the Arctic Contaminants Action Program (ACAP) or other Council bodies for their specific needs.* In this regard, the Task Force also recommends that Arctic Council nations consider improved engagement in the circumpolar black carbon demonstration project activities run by the ACAP Project Steering Group.

Although SAOs agreed the Task Force should initially focus on black carbon, methane and ozone may prove equally or perhaps even more important to efforts aimed at constraining climate change in the Arctic. Recent work by the UNEP Integrated Assessment on Black Carbon and Ozone, and CLRTAP's Task Force on Hemispheric Transboundary Air Pollution, for example, both point to methane and ozone mitigation as having high potential to slow warming in the Arctic.

The Task Force also wishes to stress, in considering any future work on short-lived climate forcers under the Arctic Council, that methane is already well understood from a climate science perspective, and many key methane mitigation options have already been well characterized and demonstrated. Unlike the case for black carbon, emission inventories for

methane are well advanced and reported under the UNFCCC with the Intergovernmental Panel on Climate Change reporting guidelines.

Given this strong starting point, plus ongoing methane mitigation efforts (whether under legal instruments, such as the Kyoto Protocol, or voluntary efforts, such as the Global Methane Initiative), *the Arctic Council and Council nations may be able to leverage these efforts to encourage additional methane reductions, both within and outside Arctic Council nations, by communicating and demonstrating the climate benefits of such measures specifically for the Arctic region.*

Because SLCF issues are likely to require a greater policy focus in the future, and to enhance interaction with other Council bodies such as ACAP, due consideration should be given to the need for the Task Force or other body to have a more policy-oriented membership while maintaining strong ties with AMAP and the scientific community.



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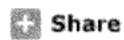
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## Getting the U.S.-China Climate Partnership Right

Op-Ed  
John Kerry  
Secretary of State  
ThinkProgress  
Washington, DC  
July 19, 2013



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President Nixon once changed the world with a single handshake on a Beijing tarmac, beginning a new relationship with China.

Today, it's not just our geopolitics that are changing — it's the earth itself. And it requires a new partnership with China to meet the challenge.

Nothing less than a transformation of the way we use and produce energy will be enough to tackle the urgent threat of climate change.

Of course, the future has a way of humbling those who try to predict it with any certainty. But here's what the science is telling us: if we fail to connect the dots — if we fail to take action — the impacts of climate change will become unmanageable at catastrophic levels.

That's why this week, at the Major Economies Forum, Todd Stern, our Special Envoy for Climate Change, carried a message of the need to make potent progress both in terms of concrete action now, and in terms of developing a new global agreement for 2015. Plain and simple, all nations have a responsibility to make near-term emissions reductions. The costs of inaction get more and more expensive the longer we wait — and the longer we wait, the less likely we are to avoid the worst and leave future generations with a sustainable planet.

We all know China and the United States have unique national circumstances. But we also have a special role. Together, we account for more than 40 percent of greenhouse gas emissions. While that's a truly staggering reality, it also means our two nations can make a profound difference. The decisions we make today — right now — will determine the fate of our planet not just for our children and grandchildren but for generations to come.

So here's the bottom line: For better or worse, the eyes of the world are upon us. Either we create the necessary momentum to galvanize a global response, or else we risk a global catastrophe. Either we set an example for the world, or the world will make an example out of us. After all, Mother Nature knows no boundaries.

The simple fact is that we have to act — and we can.

When I visited Beijing in April on my first trip to Asia as Secretary of State, we agreed to launch the Climate Change Working Group. We're elevating our climate concerns to a new level in our bilateral relationship, because no nation can take on this global challenge alone — nor should they.

We're starting to make progress. Our two nations just met again at the Strategic and Economic Dialogue, where our senior officials discuss the most pressing issues in the bilateral relationship. After roughly three months of hard work since our meeting in April, we agreed to accelerate our bilateral climate cooperation by approving five new joint initiatives to curb climate change. This is an important step forward.

While many measures — large and small — will be needed across our governments, two areas of focus will be reducing emissions from coal use and heavy and light-duty vehicles.

The United States and China are responsible for around 40 percent of global coal consumption. What's more, heavy-duty vehicles are the fastest growing source of greenhouse gas emissions from transportation in the United States and account for around half of transportation fuel consumed in China.

The pie is large enough for America and China to grow green together, even as we significantly reduce emissions in both these sectors.

We've agreed to work together to overcome barriers to carbon capture, use, and storage through several integrated demonstration projects. We've also agreed to work together on fuel efficiency standards, promote cleaner fuels and vehicle emissions control technologies, and increase efficiency in clean freight.

We're also taking action to promote energy efficiency. We're combining forces to promote energy efficiency in buildings, which account for over 30 percent of energy use in both countries. We're assisting China in improving greenhouse gas data collection and management, the foundation for any effective climate policies. And, together, we're promoting the growth of smart grids that are more resilient, more efficient, and capable of incorporating more renewable energy and distributed generation.

These climate measures will have all the more significance if we can help China diversify its fuel mix away from coal. That's why our energy dialogue focused on helping China take the commercial steps needed to increase the use of natural gas. In the United States, our gas revolution has helped drive down our carbon emissions to their lowest levels in 16 years as we

shift to renewable and lower carbon fuels. We stand ready to help China do the same as we pioneer the clean technologies of the future.


The opportunity is immense. And if we get it right, we will inspire more than 1.6 billion Americans and Chinese citizens to take ownership of this challenge, and to prove to the world that we can rise to meet it together.

And guess what? Putting the world on a path to a clean energy future will create millions of new jobs right here in America and around world.

Why? Because it will unleash market forces that reflect the very best of the entrepreneurial spirit and creativity of our two nations. Remember: we're talking about a global energy market that's valued at \$6 trillion with four billion users worldwide — growing to nine billion in 40 years. And the fastest growing segment of that market is clean and renewable energy.

The discussions at the S&ED have continued to knit together a collaboration between our two countries, that has enormous potential, if we get it right. By acting to address climate change, we can secure America's place — and China's — in the energy economy of the future. This isn't about who wins and who loses. Revolutionizing the way we use and produce energy can be a “win, win, win” — a win for America, a win for China, and win for the world. Let's seize the opportunity.

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Arctic Council Secretariat

# Kiruna Declaration

Kiruna, Sweden, 15 May 2013





# KIRUNA DECLARATION

## On the occasion of the Eighth Ministerial Meeting of the Arctic Council

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We, the Ministers representing the eight Arctic States, joined by the representatives of the six Permanent Participant organizations of the Arctic Council, have gathered in Kiruna, Sweden, at the conclusion of the first cycle of Chairmanships for the Eighth Ministerial meeting of the Arctic Council,

**Recognizing** the importance of maintaining peace, stability, and constructive cooperation in the Arctic,

**Recognizing** the importance of the sustainable use of resources, economic development and environmental protection,

**Recognizing** that the Arctic is first and foremost an inhabited region with diverse economies, cultures and societies, further recognizing the rights of the indigenous peoples and interests of all Arctic inhabitants, and emphasizing that a fundamental strength of the Council is the unique role played by Arctic indigenous peoples,

**Expressing** concern that global emissions of greenhouse gases are resulting in rapid changes in the climate and physical environment of the Arctic with widespread effects for societies and ecosystems and repercussions around the world, **reiterating** the urgent need for increased national and global actions to mitigate and adapt to climate change,

**Noting** the substantial progress we have made to strengthen our cooperation and acknowledging the leadership of the Arctic Council in taking concrete action to respond to new challenges and opportunities,

**Hereby:**

## **IMPROVING ECONOMIC AND SOCIAL CONDITIONS**

**Recognize** the central role of business in the development of the Arctic, and **decide** to increase cooperation and interaction with the business community to advance sustainable development in the Arctic,

**Welcome** the Arctic Council's work on corporate social responsibility and sustainable business, and **encourage** enterprises operating in the Arctic to respect international guidelines and principles,

**Recognize** that Arctic economic endeavors are integral to sustainable development for peoples and communities in the region, **desire** to further enhance the work of the Arctic Council to promote dynamic and sustainable Arctic economies and best practices, and **decide** to establish a Task Force to facilitate the creation of a circumpolar business forum,

**Welcome** the Arctic Maritime and Aviation Transportation Infrastructure Initiative and its comparative analysis of seaport and airport infrastructure in the Arctic States, and **encourage** continued efforts to identify opportunities for complementary infrastructure development and use,

**Appreciate** that the first legally binding agreement negotiated under the auspices of the Arctic Council, the Agreement on Cooperation in Aeronautical and Maritime Search and Rescue in the Arctic, has come into force, **recognize** its important role for safe transport and enhancing cooperation in assisting people in distress in the Arctic, and **acknowledge** the importance of continued operational exercises in support of its implementation,

**Acknowledge** that Arctic peoples are experiencing challenges associated with rapid socio-economic and environmental changes, **note** the previous work of the Arctic Council to promote mental health in Arctic communities, and **decide** to undertake further work to improve and develop mental wellness promotion strategies,

**Recognize** that the use of traditional and local knowledge is essential to a sustainable future in the Arctic, and **decide** to develop recommendations to integrate traditional and local knowledge in the work of the Arctic Council,

**Acknowledge** the importance of indigenous peoples' traditional ways of life to their economic well-being, culture and health, and **request** Senior Arctic Officials to recommend ways to increase awareness regionally and globally on traditional ways of life of the Arctic indigenous peoples and to **present** a report on this work at the next Ministerial meeting in 2015,

## ACTING ON CLIMATE CHANGE

**Recognize** that climate change in the Arctic causes significant changes in water, snow, ice and permafrost conditions, with cascading effects on biodiversity, ecosystems, economic and human living conditions in the Arctic with repercussions around the world, and that substantial cuts in emissions of carbon dioxide and other long-lived greenhouse gases are necessary for any meaningful global climate change mitigation efforts, and **commit** to strengthen our efforts to find solutions,

**Recognize** that Arctic States, along with other major emitters, substantially contribute to global greenhouse gas emissions, and **confirm** the commitment of all Arctic States to work together and with other countries under the United Nations Framework Convention on Climate Change (UNFCCC) to conclude a protocol, another legal instrument or an agreed outcome with legal force no later than 2015, and **urge** all Parties to the Convention to continue to take urgent action to meet the long-term goal aimed at limiting the increase in global average temperature to below 2 degrees Celsius above pre-industrial levels,

**Recognize** that reduction of short-lived climate forcers, could slow Arctic and global climate change, and have positive effects on health, and **welcome** the report on short lived climate forcers, and support its recommendations including that national black carbon emission inventories for the Arctic should continue to be developed and reported as a matter of priority,

**Urge** the Parties to the Montreal Protocol on Substances that Deplete the Ozone Layer to take action as soon as possible, complementary to the UNFCCC, to phase-down the production and consumption of hydrofluorocarbons, which contribute to the warming of the Arctic region,

**Decide** to establish a Task Force to develop arrangements on actions to achieve enhanced black carbon and methane emission reductions in the Arctic, and report at the next Ministerial meeting in 2015,

**Welcome** the on-going work on the Arctic Resilience Report, and **emphasize** the need for forward-looking cooperation with a view to increase Arctic capacity to adequately address rapid change and resilience,

**Recognize** that adaptation to the impacts of climate change is a challenge for the Arctic, and the need for strengthened collaboration with Arctic indigenous peoples and other residents, governments and industry, **welcome** the reports, key findings and on-going work on the Adaptation Actions for a Changing Arctic initiative, and **decide** to continue the work on enhancing the capacity of decision-makers to manage climate risks including through an on-line information portal and through improved predictions of combined effects,

## PROTECTING THE ARCTIC ENVIRONMENT

**Announce** the Agreement on Cooperation on Marine Oil Pollution Preparedness and Response in the Arctic, the second legally binding agreement negotiated under the auspices of the Arctic Council, and **encourage** future national, bi-national and multinational contingency plans, training and exercises, to develop effective response measures,

**Recognize** that effective prevention, including related containment practices, is critical to ensuring the protection of the Arctic marine environment from oil pollution incidents, **welcome** the Recommended Practices in the Prevention of Arctic Marine Oil Pollution Project reports and recommendations to Ministers, and **encourage** Arctic States to pursue further work in the recommended areas,

**Decide** to establish a Task Force to develop an Arctic Council action plan or other arrangement on oil pollution prevention, and to present the outcomes of its work and any recommendations for further action at the next Ministerial meeting in 2015,

**Recognize** the value of sustaining Arctic ecosystems and biodiversity and that the Arctic environment needs to be protected as a basis for sustainable development, prosperity, lifestyles and human well-being, and **commit** to pursue the conservation and sustainable use of Arctic biological resources,

**Note** with concern that Arctic biodiversity is being degraded and that climate change is the most serious threat, **welcome** the Arctic Biodiversity Assessment, the first Arctic-wide comprehensive assessment of status and emerging trends in Arctic biodiversity, **approve** its recommendations and **encourage** Arctic States to follow up on its recommendations, and **instruct** Senior Arctic Officials to ensure that a plan for further work under the Arctic Council to support and implement its recommendations is developed, and that a progress report is delivered to the next ministerial meeting,

**Encourage** Arctic States to take decisive action to help sustain Arctic biodiversity and implement internationally agreed biodiversity objectives, to cooperate on adaptive management strategies for vulnerable species and ecosystems, and to continue existing Arctic biodiversity research and monitoring efforts through the Circumpolar Biodiversity Monitoring Program,

**Welcome** the Arctic Ocean Acidification assessment, **approve** its recommendations, **note** with concern the potential impacts of acidification on marine life and people that are dependent on healthy marine ecosystems, **recognize** that carbon dioxide emission reductions are the only effective way to mitigate ocean acidification, and **request** the Arctic States to continue to take action on mitigation and adaptation and to monitor and assess the state of Arctic Ocean acidification,

**Recognize** the important ongoing work in the International Maritime Organization to develop a mandatory Polar Code on shipping and **decide** to strengthen our collaboration in that work toward its expeditious completion,

**Welcome** the Arctic Ocean Review report, undertaken to provide guidance to Arctic States on strengthening governance in the Arctic through a cooperative, coordinated and integrated approach to the management of the Arctic marine environment, **approve** its recommendations and **request** appropriate follow-up actions, and report on progress at subsequent ministerial meetings,

**Recognize** that there are further persistent organic pollutants to be addressed that pose threats to human health and the environment in the Arctic, **encourage** Arctic States to continue monitoring and assessment activities and enhance their efforts to meet the objectives of the Stockholm convention, and **welcome** the completion of the successful demonstration project preventing the release of 7000 tons of obsolete pesticides into the Arctic environment, and look forward to further activities in this area,

**Note** the work of the Arctic Council in raising global awareness and understanding of the impacts of mercury on the health of people and wildlife in the Arctic, **welcome** the Minamata Convention on Mercury, **appreciate** the reference to the particular vulnerabilities of Arctic ecosystems and indigenous communities, **encourage** its swift entry into force along with robust use and emission reduction actions, and **pledge** to assist the evaluation of its effectiveness through continued monitoring and assessments,

**Welcome** the report on Ecosystem Based Management, **approve** the definition, principles and recommendations, **encourage** Arctic States to implement recommendations both within and across boundaries, and **ensure** coordination of approaches in the work of the Arctic Council's Working Groups,

**Agree** that cooperation in scientific research across the circumpolar Arctic is of great importance to the work of the Arctic Council, and **establish** a Task Force to work towards an arrangement on improved scientific research cooperation among the eight Arctic States,



## STRENGTHENING THE ARCTIC COUNCIL

**Adopt** the statement “Vision for the Arctic”,

**Welcome** the establishment of the Arctic Council Secretariat in Tromsø, Norway, **note** the Host Country Agreement signed between the Government of Norway and the Director of the Arctic Council Secretariat, **approve** its Terms of Reference, Staff rules, Financial rules, Roles and Responsibilities of the Director, and budget for 2013, and **instruct** Senior Arctic Officials to approve a budget for 2014-2015,

**Approve** the revised Arctic Council Rules of Procedure,

**Note** the Chair’s conclusions from the Arctic Environment Ministers Meeting in February 2013, and **welcome** further high-level engagement and meetings,

**Welcome** China, India, Italy, Japan, Republic of Korea and Singapore as new Observer States, and **take note** of the adoption by Senior Arctic Officials of an Observer manual to guide the Council’s subsidiary bodies in relation to meeting logistics and the roles played by Observers,

The Arctic Council receives the application of the EU for observer status affirmatively, but defers a final decision on implementation until the Council ministers are agreed by consensus that the concerns of Council members, addressed by the President of the European Commission in his letter of 8 May are resolved, with the understanding that the EU may observe Council proceedings until such time as the Council acts on the letter’s proposal,

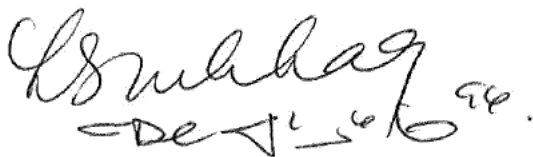
**Acknowledge** that the work of the Arctic Council continues to evolve to respond to new challenges and opportunities in the Arctic, request Senior Arctic Officials to recommend ways and means to strengthen how the work of the Arctic Council is carried out, including identifying opportunities for Arctic States to use the Council’s work to influence and shape action in other regional and international fora as well as identifying approaches to support the active participation of Permanent Participants, and to present a report on their work at the next Ministerial meeting in 2015,

**Acknowledge** the decision of the Permanent Participants to relocate the Indigenous Peoples Secretariat to Tromsø, Norway,

**Adopt** the Senior Arctic Officials Report to Ministers, including its working group work plans, and instruct Senior Arctic Officials to review and adjust the mandates and work plans of the Arctic Council working groups and other subsidiary bodies, and establish new ones, if appropriate, and to follow up on the recommendations agreed to by the Arctic Council,

**Thank** the Kingdom of Sweden for its Chairmanship of the Arctic Council during the period 2011-2013, concluding the first round of eight Arctic States chairmanships, and **welcome** the offer of Canada to chair the Arctic Council during the period 2013-2015 and to host the Ninth Ministerial meeting in 2015.

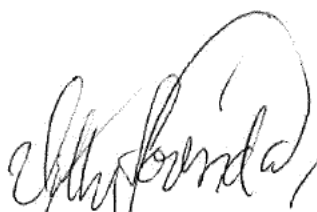
Signed by the representatives of the Arctic Council  
15th of May 2013 in Kiruna, Sweden.



For the Government of  
Canada  
Leona Aglukkaq  
Minister for the Arctic Council



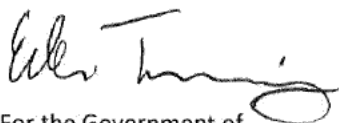
For the Government of  
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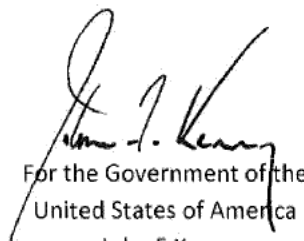
For the Government of  
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Erkki Tuomioja  
Minister of Foreign Affairs



For the Government of  
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For the Government of  
Norway  
Espen Barth Eide  
Minister of Foreign Affairs



For the Government of the  
United States of America  
John F Kerry  
Secretary of State

**Report of the U.S.-China Climate Change Working Group  
to the Strategic and Economic Dialogue  
July 10, 2013**

The U.S.-China Climate Change Working Group (hereinafter referred to as the Working Group) submits this Report to the Special Representatives of Leaders of the United States and China for the Strategic and Economic Dialogue (hereinafter referred to as the S&ED) pursuant to the Joint Statement on Climate Change issued by the United States and China on April 13, 2013.

**Introduction**

We have prepared this Report mindful of the overwhelming scientific consensus about anthropogenic climate change and its worsening impacts, as well as the urgent need to intensify global efforts to combat climate change. Rising temperatures are predicted to lead to sea level rise that could affect tens of millions of people around the world, as well as more frequent and intense heat waves, intensified urban smog, and droughts and floods in our most productive agricultural regions. Global climate change represents a grave threat to the economic livelihood and security of all nations, but it also represents a significant opportunity for sustainable development that will benefit both current and future generations. We believe that ambitious domestic action by China and the United States is more critical than ever. China has given high priority to building an “Ecological Civilization” by striving for green, circular and low-carbon development. It has adopted proactive policies and measures to mitigate and adapt to climate change. The United States is implementing robust policies to promote renewable energy, enhance energy efficiency, and reduce emissions from transportation, buildings, and the power sector. Both countries recognize the need to work together to continue and build on these important efforts.

The Joint Statement on Climate Change<sup>1</sup> set in motion a process to take stock of our existing cooperative efforts as well as to identify significant new action initiatives. The United States and China established the Working Group to determine ways in which the two countries can strengthen cooperation on climate change through collaboration on technology, research, conservation, and alternative and renewable energy. The Working Group, chaired by National Development and Reform Commission Vice Chairman Xie Zhenhua and U.S. Special Envoy for Climate Change Todd Stern, met several times for in-depth discussions with the active participation of relevant government ministries on both sides.

The Working Group’s findings and outcomes are presented below. The Working Group intends to coordinate ongoing implementation of the specific areas of cooperation identified in this Report, as well as the development of additional areas of cooperation for subsequent annual meetings of the S&ED. In addition, the Working Group intends to facilitate an enhanced policy dialogue.

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<sup>1</sup> The text of the Joint Statement can be found in Annex 1.

Both sides believe that the kind of cooperative actions outlined in this Report will have substantial benefits. First, such actions can help each country grow and develop in sustainable ways. Significant co-benefits of investing in mitigation will also include enhanced energy security, reduced air pollution, improved public health, and conservation of important natural resources. Both sides will benefit from developing and deploying new environmental and clean energy technologies that promote economic prosperity and job creation while reducing greenhouse gas emissions.

Second, both sides appreciate that advancing concrete action on climate change can serve as a pillar of our bilateral relationship, build mutual trust and respect, and pave the way for a stronger overall collaboration.

Third, we fully recognize that the United States and China play a significant role in global efforts to address climate change. Both sides agree that by enhancing our domestic actions and our bilateral climate cooperation, we can make an important contribution to the worldwide effort to confront climate change in a manner commensurate with the growing urgency of this global challenge.

#### **Stocktaking of existing cooperation on climate change**

Pursuant to the April 13, 2013 Joint Statement, the Working Group reviewed existing bilateral programs and initiatives related to climate change. This stocktaking exercise highlighted the breadth of these cooperative efforts, including under the 2009 Memorandum of Understanding (MOU) to Enhance Cooperation on Climate Change, Energy and the Environment, as well as under the Ten Year Framework for Cooperation on Energy and Environment. In recent years, exchanges and joint projects have taken place in a wide variety of areas, including renewable energy, building and industrial energy efficiency, clean transportation and electric vehicles, green buildings, sustainable cities, land use and forestry, scientific research, and technology research and development.

Important new activities pursuant to these existing programs are being announced in the context of the Strategic Dialogue, including six new EcoPartnerships, deployment of clean cookstoves in China, strengthened cooperation on scientific research and climate observations, and a bilateral Airport Sustainability Initiative.

#### **New action initiatives**

The Working Group recognized the potential for bold, new, collaborative action to combat climate change and to promote low carbon development. Drawing on the full expertise of our government agencies, the Working Group examined a number of areas and recommended five new action initiatives as a start. Taken together, these action initiatives will address some of the key drivers of greenhouse gas emissions and air pollution in our countries, including urbanization, transportation, industrial emissions, and coal-fired power generation. These initiatives also aim to produce significant co-benefits including cleaner air, energy savings, and water recovery.

**1. Emission reductions from heavy-duty and other vehicles.** The emissions from

heavy-duty vehicles significantly degrade urban and regional air quality, while exacerbating global climate change. Light-duty vehicles also contribute significantly to greenhouse gas emissions, fuel use and air pollution. Efforts under this initiative will include:

A. Enhanced heavy-duty vehicle fuel efficiency standards: Each country will work domestically to implement policies and programs to improve fuel efficiency of heavy-duty vehicles. The two countries will also deepen technical exchanges on efficiency standards for light- and heavy-duty vehicles. Relevant agencies include China's National Development and Reform Commission (NDRC), China's Ministry of Industry and Information Technology, the U.S. Department of Transportation (DOT), and the U.S. Environmental Protection Agency (EPA).

B. Clean fuels and vehicle emissions control technologies: China will expeditiously implement its new low-sulfur standards and work toward adopting emission control technologies and enhancing vehicle emissions standards. The U.S. EPA will continue to implement its heavy-duty low-sulfur fuel and diesel standards and will provide technical support as appropriate for China's domestic policies. Relevant agencies include China's NDRC and Ministry of Environmental Protection, and the U.S. EPA.

C. Promotion of efficient, clean freight: Each country will work domestically to increase efficiency of road freight transport, with the U.S. EPA providing technical assistance as appropriate for implementation of green freight policies through the China Green Freight Initiative. Relevant agencies include China's NDRC and Ministry of Transport, the U.S. EPA, and the U.S. DOT.

2. **Smart Grids:** Recognizing the fact that the integration of low carbon infrastructure, smart grid technologies, and clean electricity offers a powerful means to reduce carbon emissions in both the U.S. and China, both sides are to promote exchanges and cooperation on smart grid related technology and policy issues through workshops and dialogues. This work will build on collaboration between the U.S. Department of Energy (DOE) and China's National Energy Administration (NEA) under the U.S.-China Renewable Energy Partnership and collaboration among the U.S. Federal Energy Regulatory Commission, the U.S. Trade and Development Agency, the U.S. DOE, and China's NEA on the Smart Grid Technical Exchange Program.

3. **Carbon capture, utilization, and storage.** Together, the United States and China account for more than 40 percent of global coal consumption. Emissions from coal combustion in the electric power and industrial sectors can be significantly reduced through carbon capture, utilization, and storage (CCUS). Building on the significant R&D collaborations between the United States and China, and to encourage the transition from research to commercial-scale demonstration, China and the United States will cooperate to overcome previous barriers to CCUS deployment by implementing several integrated CCUS projects in both countries. These demonstrations will allow for enhanced trade and commerce. Both sides will analyze CO<sub>2</sub> "utilization" options, such as enhanced oil and gas recovery, as well as innovative options such as fresh water

production, work collaboratively on capture and storage issues, such as demonstrating different capture technology choices and monitoring and measuring of CO<sub>2</sub> storage sites, and will regularly convene government, academic, and industry representatives to examine the regulatory framework for promotion of CCUS in the United States and China. The United States and China will undertake a three-tiered effort to identify integrated project sites; develop joint scientific and technical monitoring programs to manage information and lessons learned from the projects; and explore business-to-business joint cooperation for scaling up CCUS deployment. These demonstrations will be complemented by a regular high-level policy dialogue that will take stock of technical progress and exchange experiences and policies for CCUS in the United States and China. Both countries can use the information gained through this cooperation to take up necessary policies for promoting CCUS demonstration at scale across major emitting sectors.

**4. Collecting and managing greenhouse gas emissions data.** Both countries place a high priority on comprehensive, accurate reporting of economy-wide greenhouse gas emissions data to track progress in reducing emissions and to support development and implementation of mitigation policies. The United States and China intend to work cooperatively on capacity building for collection and management of greenhouse gas emissions data, building on extensive experience in this area. Working together and with others, such as the World Bank's Partnership for Market Readiness, the United States and China can build models that may also benefit other countries. This expanded initiative will encompass two complementary activities: (a) technical and methodological assistance in data reporting and data quality management at the facility and/or enterprise level; and (b) sharing experiences in developing and maintaining an integrated system for management of such data. These activities will build upon existing cooperative work between the U.S. EPA and China's NDRC and will include support for reporting methodology development, technical training and developing data collection and management design materials.

**5. Energy efficiency in buildings and industry.** The United States and China place a high priority on improving energy efficiency across industry and buildings, and recognize that there is significant scope for reducing emissions and costs through comprehensive efforts to improve energy efficiency while fostering economic growth. Indeed, work is already underway in this area under the Energy Efficiency Action Plan of the U.S.-China Ten Year Framework for Cooperation on Energy and the Environment. Both sides commit to intensify their efforts, with an initial enhanced focus on promoting energy efficiency of buildings. We will engage the private sector and other stakeholders in both the United States and China to further enhance existing work to significantly reduce energy use in buildings and industry in each country, including through the implementation of innovative financing methods. This work will include cooperation on: energy efficiency standards and testing for commercial, residential, and manufacturing buildings; identifying the top ten energy efficient technologies and best practices for industry; and further development of energy savings performance contracting in China. This enhanced work plan will be discussed at the next U.S.-China Energy Efficiency Forum, to be held in Washington, D.C. in September 2013.

Following the S&ED, the United States and China will cooperate through all relevant agencies to develop specific implementation plans for these five initiatives. These plans will clearly elaborate the roles of relevant agencies. The implementation plans will be completed by October 2013. Both sides will look to involve other stakeholders, where appropriate, in the development of these plans and in initiative implementation and will promptly initiate outreach to them.

The Working Group also intends to explore other possible areas for bilateral cooperation, including: (a) specific mechanisms for China and the United States to work together in assisting least developed countries, small island developing states, and African countries to build their capacity to address climate change; and (b) supporting appropriate cooperative efforts among our states, provinces, and cities as they develop sub-national carbon markets.

### **Enhanced policy dialogue**

The Working Group emphasizes the importance of the climate change policy dialogue established under the 2009 MOU to Enhance Cooperation on Climate Change, Energy and the Environment and the role it has played in enhancing mutual understanding and exchange of ideas at various critical moments in the multilateral negotiation process under the United Nations Framework Convention on Climate Change (UNFCCC). Recognizing the imperative of negotiating a robust and effective post-2020 climate agreement as well as the importance of our own constructive contributions for the success of such negotiations, the United States and China resolve to work closely with other countries in developing this agreement in the period prior to its scheduled completion in 2015. In this regard, we intend to enhance and deepen our policy dialogue on all aspects of this agreement through more frequent and intensified bilateral consultation at all levels.

The Working Group also recommends strengthening our bilateral dialogue related to domestic climate policy to enhance mutual understanding of each other's domestic efforts in responding to climate change and to enhance our mutual confidence. This dialogue would include topics such as the role of regulation, lessons learned from sub-national developments on carbon trading and carbon pricing programs, and various other policy instruments to help promote low-carbon growth, increase energy security, and combat climate change.

Wherever possible, our policy dialogue should seek to include expertise from all sectors of society and provide incentives for engagement at the sub-national level as well as by business, research institutions, think tanks, academia, and civil society.

Additionally, President Barack Obama and President Xi Jinping made the following announcement on June 8, 2013: that the United States and China agreed to work together and with other countries through multilateral approaches that include using the expertise and institutions of the Montreal Protocol to phase down the production and consumption of HFCs, while continuing to include HFCs within the scope of UNFCCC and its Kyoto

Protocol provisions for accounting and reporting of emissions. The Working Group will work effectively to carry forward this effort.

### **Role of the Working Group**

The Working Group has already played an important role in advancing concrete collaboration and mutual trust between the two countries on climate change. The Working Group is intended to continue to serve as a high-level forum to coordinate the new action initiatives outlined in this Report, develop recommendations for new action initiatives and enhance the policy dialogue on the multilateral climate negotiations process as well as on domestic climate policy in the two countries. The Working Group will meet at least twice per year and report annually to the S&ED.



## ANNEX 1

### U.S.-CHINA JOINT STATEMENT ON CLIMATE CHANGE April 13, 2013

The United States of America and the People's Republic of China recognize that the increasing dangers presented by climate change measured against the inadequacy of the global response requires a more focused and urgent initiative. The two sides have been engaged in constructive discussions through various channels over several years bilaterally and multilaterally, including the UN Framework Convention on Climate Change process and the Major Economies Forum. In addition, both sides consider that the overwhelming scientific consensus regarding climate change constitutes a compelling call to action crucial to having a global impact on climate change.

The two countries took special note of the overwhelming scientific consensus about anthropogenic climate change and its worsening impacts, including the sharp rise in global average temperatures over the past century, the alarming acidification of our oceans, the rapid loss of Arctic sea ice, and the striking incidence of extreme weather events occurring all over the world. Both sides recognize that, given the latest scientific understanding of accelerating climate change and the urgent need to intensify global efforts to reduce greenhouse gas emissions, forceful, nationally appropriate action by the United States and China – including large-scale cooperative action – is more critical than ever. Such action is crucial both to contain climate change and to set the kind of powerful example that can inspire the world.

In order to achieve this goal of elevating the climate change challenge as a higher priority, the two countries will initiate a Climate Change Working Group in anticipation of the 2013 Strategic and Economic Dialogue (S&ED). In keeping with the vision shared by the leaders of the two countries, the Working Group will begin immediately to determine and finalize ways in which they can advance cooperation on technology, research, conservation, and alternative and renewable energy. They will place this initiative on a faster track through the S&ED next slated to meet this summer. The Working Group will be led by Mr. Todd Stern, U.S. Special Envoy for Climate Change and Mr. Xie Zhenhua, Vice Chairman, the National Development and Reform Commission. The purpose of the Climate Change Working Group will be to make preparations for the S&ED by taking stock of existing cooperation related to climate change, and the potential to enhance such efforts through the appropriate ministerial channels; and by identifying new areas for concrete, cooperative action to foster green and low-carbon economic growth, including through the use of public-private partnerships, where appropriate. The Climate Change Working Group should include relevant government ministries and will present its findings to the Special Representatives of the leaders for the S&ED at their upcoming meeting.

Both sides also noted the significant and mutual benefits of intensified action and cooperation on climate change, including enhanced energy security, a cleaner environment, and more abundant natural resources. They also reaffirmed that working

together both in the multilateral negotiation and to advance concrete action on climate change can serve as a pillar of the bilateral relationship, build mutual trust and respect, and pave the way for a stronger overall collaboration. Both sides noted a common interest in developing and deploying new environmental and clean energy technologies that promote economic prosperity and job creation while reducing greenhouse gas emissions.

In light of previous joint statements, existing arrangements, and ongoing work, both sides agree that it is essential to enhance the scale and impact of cooperation on climate change, commensurate with the growing urgency to deal with our shared climate challenges.

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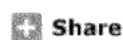
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## Report of the U.S.-China Climate Change Working Group to the Strategic and Economic Dialogue

Special Envoy for Climate Change  
Washington, DC  
July 10, 2013



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The U.S.-China Climate Change Working Group (hereinafter referred to as the Working Group) submits this Report to the Special Representatives of Leaders of the United States and China for the Strategic and Economic Dialogue (hereinafter referred to as the S&ED) pursuant to the Joint Statement on Climate Change issued by the United States and China on April 13, 2013.

### Introduction

We have prepared this Report mindful of the overwhelming scientific consensus about anthropogenic climate change and its worsening impacts, as well as the urgent need to intensify global efforts to combat climate change. Rising temperatures are predicted to lead to sea level rise that could affect tens of millions of people around the world, as well as more frequent and intense heat waves, intensified urban smog, and droughts and floods in our most productive agricultural regions. Global climate change represents a grave threat to the economic livelihood and security of all nations, but it also represents a significant opportunity for sustainable development that will benefit both current and future generations. We believe that ambitious domestic action by China and the United States is more critical than ever. China has given high priority to building an “Ecological Civilization” by striving for green, circular and low-carbon development. It has adopted proactive policies and measures to mitigate and adapt to climate change. The United States is implementing robust policies to promote renewable energy, enhance energy efficiency, and reduce emissions from transportation, buildings, and the power sector. Both countries recognize the need to work together to continue and build on these important efforts.

The Joint Statement on Climate Change<sup>[1]</sup> set in motion a process to take stock of our existing cooperative efforts as well as to identify significant new action initiatives. The United States and

China established the Working Group to determine ways in which the two countries can strengthen cooperation on climate change through collaboration on technology, research, conservation, and alternative and renewable energy. The Working Group, chaired by National Development and Reform Commission Vice Chairman Xie Zhenhua and U.S. Special Envoy for Climate Change Todd Stern, met several times for in-depth discussions with the active participation of relevant government ministries on both sides.

The Working Group's findings and outcomes are presented below. The Working Group intends to coordinate ongoing implementation of the specific areas of cooperation identified in this Report, as well as the development of additional areas of cooperation for subsequent annual meetings of the S&ED. In addition, the Working Group intends to facilitate an enhanced policy dialogue.

Both sides believe that the kind of cooperative actions outlined in this Report will have substantial benefits. First, such actions can help each country grow and develop in sustainable ways. Significant co-benefits of investing in mitigation will also include enhanced energy security, reduced air pollution, improved public health, and conservation of important natural resources. Both sides will benefit from developing and deploying new environmental and clean energy technologies that promote economic prosperity and job creation while reducing greenhouse gas emissions.

Second, both sides appreciate that advancing concrete action on climate change can serve as a pillar of our bilateral relationship, build mutual trust and respect, and pave the way for a stronger overall collaboration.

Third, we fully recognize that the United States and China play a significant role in global efforts to address climate change. Both sides agree that by enhancing our domestic actions and our bilateral climate cooperation, we can make an important contribution to the worldwide effort to confront climate change in a manner commensurate with the growing urgency of this global challenge.

### **Stocktaking of existing cooperation on climate change**

Pursuant to the April 13, 2013 Joint Statement, the Working Group reviewed existing bilateral programs and initiatives related to climate change. This stocktaking exercise highlighted the breadth of these cooperative efforts, including under the 2009 Memorandum of Understanding (MOU) to Enhance Cooperation on Climate Change, Energy and the Environment, as well as under the Ten Year Framework for Cooperation on Energy and Environment. In recent years, exchanges and joint projects have taken place in a wide variety of areas, including renewable energy, building and industrial energy efficiency, clean transportation and electric vehicles, green buildings, sustainable cities, land use and forestry, scientific research, and technology research and development.

Important new activities pursuant to these existing programs are being announced in the context of the Strategic Dialogue, including six new EcoPartnerships, deployment of clean cookstoves in China, strengthened cooperation on scientific research and climate observations, and a bilateral

## Airport Sustainability Initiative.

### New action initiatives

The Working Group recognized the potential for bold, new, collaborative action to combat climate change and to promote low carbon development. Drawing on the full expertise of our government agencies, the Working Group examined a number of areas and recommended five new action initiatives as a start. Taken together, these action initiatives will address some of the key drivers of greenhouse gas emissions and air pollution in our countries, including urbanization, transportation, industrial emissions, and coal-fired power generation. These initiatives also aim to produce significant co-benefits including cleaner air, energy savings, and water recovery.

**1. Emission reductions from heavy-duty and other vehicles.** The emissions from heavy-duty vehicles significantly degrade urban and regional air quality, while exacerbating global climate change. Light-duty vehicles also contribute significantly to greenhouse gas emissions, fuel use and air pollution. Efforts under this initiative will include:

A. Enhanced heavy-duty vehicle fuel efficiency standards: Each country will work domestically to implement policies and programs to improve fuel efficiency of heavy-duty vehicles. The two countries will also deepen technical exchanges on efficiency standards for light- and heavy-duty vehicles. Relevant agencies include China's National Development and Reform Commission (NDRC), China's Ministry of Industry and Information Technology, the U.S. Department of Transportation (DOT), and the U.S. Environmental Protection Agency (EPA).

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C. Promotion of efficient, clean freight: Each country will work domestically to increase efficiency of road freight transport, with the U.S. EPA providing technical assistance as appropriate for implementation of green freight policies through the China Green Freight Initiative. Relevant agencies include China's NDRC and Ministry of Transport, the U.S. EPA, and the U.S. DOT.

**2. Smart Grids.** Recognizing the fact that the integration of low carbon infrastructure, smart grid technologies, and clean electricity offers a powerful means to reduce carbon emissions in both the U.S. and China, both sides are to promote exchanges and cooperation on smart grid related technology and policy issues through workshops and dialogues. This work will build on collaboration between the U.S. Department of Energy (DOE) and China's National Energy Administration (NEA) under the U.S.-China Renewable Energy Partnership and collaboration among the U.S. Federal Energy Regulatory Commission, the U.S. Trade and Development Agency, the U.S. DOE, and China's NEA on the Smart Grid Technical Exchange Program.



**3. Carbon capture, utilization and storage.** Together, the United States and China account for more than 40 percent of global coal consumption. Emissions from coal combustion in the electric power and industrial sectors can be significantly reduced through carbon capture, utilization, and storage (CCUS). Building on the significant R&D collaborations between the United States and China, and to encourage the transition from research to commercial-scale demonstration, China and the United States will cooperate to overcome previous barriers to CCUS deployment by implementing several integrated CCUS projects in both countries. These demonstrations will allow for enhanced trade and commerce. Both sides will analyze CO<sub>2</sub> “utilization” options, such as enhanced oil and gas recovery, as well as innovative options such as fresh water production, work collaboratively on capture and storage issues, such as demonstrating different capture technology choices and monitoring and measuring of CO<sub>2</sub> storage sites, and will regularly convene government, academic, and industry representatives to examine the regulatory framework for promotion of CCUS in the United States and China. The United States and China will undertake a three-tiered effort to identify integrated project sites; develop joint scientific and technical monitoring programs to manage information and lessons learned from the projects; and explore business-to-business joint cooperation for scaling up CCUS deployment. These demonstrations will be complemented by a regular high-level policy dialogue that will take stock of technical progress and exchange experiences and policies for CCUS in the United States and China. Both countries can use the information gained through this cooperation to take up necessary policies for promoting CCUS demonstration at scale across major emitting sectors.

**4. Collecting and managing greenhouse gas emissions data.** Both countries place a high priority on comprehensive, accurate reporting of economy-wide greenhouse gas emissions data to track progress in reducing emissions and to support development and implementation of mitigation policies. The United States and China intend to work cooperatively on capacity building for collection and management of greenhouse gas emissions data, building on extensive experience in this area. Working together and with others, such as the World Bank’s Partnership for Market Readiness, the United States and China can build models that may also benefit other countries. This expanded initiative will encompass two complementary activities: (a) technical and methodological assistance in data reporting and data quality management at the facility and/or enterprise level; and (b) sharing experiences in developing and maintaining an integrated system for management of such data. These activities will build upon existing cooperative work between the U.S. EPA and China’s NDRC and will include support for reporting methodology development, technical training and developing data collection and management design materials.

**5. Energy efficiency in buildings and industry.** The United States and China place a high priority on improving energy efficiency across industry and buildings, and recognize that there is significant scope for reducing emissions and costs through comprehensive efforts to improve energy efficiency while fostering economic growth. Indeed, work is already underway in this area under the Energy Efficiency Action Plan of the U.S.-China Ten Year Framework for Cooperation on Energy and the Environment. Both sides commit to intensify their efforts, with an initial enhanced focus on promoting energy efficiency of buildings. We will engage the private sector and other stakeholders in both the United States and China to further enhance existing work to significantly reduce energy use in buildings and industry in each country,

including through the implementation of innovative financing methods. This work will include cooperation on: energy efficiency standards and testing for commercial, residential, and manufacturing buildings; identifying the top ten energy efficient technologies and best practices for industry; and further development of energy savings performance contracting in China. This enhanced work plan will be discussed at the next U.S.-China Energy Efficiency Forum, to be held in Washington, D.C. in September 2013.

Following the S&ED, the United States and China will cooperate through all relevant agencies to develop specific implementation plans for these five initiatives. These plans will clearly elaborate the roles of relevant agencies. The implementation plans will be completed by October 2013. Both sides will look to involve other stakeholders, where appropriate, in the development of these plans and in initiative implementation and will promptly initiate outreach to them.

The Working Group also intends to explore other possible areas for bilateral cooperation, including: (a) specific mechanisms for China and the United States to work together in assisting least developed countries, small island developing states, and African countries to build their capacity to address climate change; and (b) supporting appropriate cooperative efforts among our states, provinces, and cities as they develop sub-national carbon markets.

### **Enhanced policy dialogue**

The Working Group emphasizes the importance of the climate change policy dialogue established under the 2009 MOU to Enhance Cooperation on Climate Change, Energy and the Environment and the role it has played in enhancing mutual understanding and exchange of ideas at various critical moments in the multilateral negotiation process under the United Nations Framework Convention on Climate Change (UNFCCC). Recognizing the imperative of negotiating a robust and effective post-2020 climate agreement as well as the importance of our own constructive contributions for the success of such negotiations, the United States and China resolve to work closely with other countries in developing this agreement in the period prior to its scheduled completion in 2015. In this regard, we intend to enhance and deepen our policy dialogue on all aspects of this agreement through more frequent and intensified bilateral consultation at all levels.

The Working Group also recommends strengthening our bilateral dialogue related to domestic climate policy to enhance mutual understanding of each other's domestic efforts in responding to climate change and to enhance our mutual confidence. This dialogue would include topics such as the role of regulation, lessons learned from sub-national developments on carbon trading and carbon pricing programs, and various other policy instruments to help promote low-carbon growth, increase energy security, and combat climate change.

Wherever possible, our policy dialogue should seek to include expertise from all sectors of society and provide incentives for engagement at the sub-national level as well as by business, research institutions, think tanks, academia, and civil society.

Additionally, President Barack Obama and President Xi Jinping made the announcement on June 8, 2013 that the United States and China agreed to work together and with other countries

through multilateral approaches that include using the expertise and institutions of the Montreal Protocol to phase down the production and consumption of HFCs, while continuing to include HFCs within the scope of UNFCCC and its Kyoto Protocol provisions for accounting and reporting of emissions. The Working Group will work effectively to carry forward this effort.

### **Role of the Working Group**

The Working Group has already played an important role in advancing concrete collaboration and mutual trust between the two countries on climate change. The Working Group is intended to continue to serve as a high-level forum to coordinate the new action initiatives outlined in this Report, develop recommendations for new action initiatives and enhance the policy dialogue on the multilateral climate negotiations process as well as on domestic climate policy in the two countries. The Working Group will meet at least twice per year and report annually to the S&ED.

## ANNEX 1

### U.S.-CHINA JOINT STATEMENT ON CLIMATE CHANGE

April 13, 2013

The United States of America and the People's Republic of China recognize that the increasing dangers presented by climate change measured against the inadequacy of the global response requires a more focused and urgent initiative. The two sides have been engaged in constructive discussions through various channels over several years bilaterally and multilaterally, including the UN Framework Convention on Climate Change process and the Major Economies Forum. In addition, both sides consider that the overwhelming scientific consensus regarding climate change constitutes a compelling call to action crucial to having a global impact on climate change.

The two countries took special note of the overwhelming scientific consensus about anthropogenic climate change and its worsening impacts, including the sharp rise in global average temperatures over the past century, the alarming acidification of our oceans, the rapid loss of Arctic sea ice, and the striking incidence of extreme weather events occurring all over the world. Both sides recognize that, given the latest scientific understanding of accelerating climate change and the urgent need to intensify global efforts to reduce greenhouse gas emissions, forceful, nationally appropriate action by the United States and China – including large-scale cooperative action – is more critical than ever. Such action is crucial both to contain climate change and to set the kind of powerful example that can inspire the world.

In order to achieve this goal of elevating the climate change challenge as a higher priority, the two countries will initiate a Climate Change Working Group in anticipation of the 2013 Strategic and Economic Dialogue (S&ED). In keeping with the vision shared by the leaders of the two countries, the Working Group will begin immediately to determine and finalize ways in which

they can advance cooperation on technology, research, conservation, and alternative and renewable energy. They will place this initiative on a faster track through the S&ED next slated to meet this summer. The Working Group will be led by Mr. Todd Stern, U.S. Special Envoy for Climate Change and Mr. Xie Zhenhua, Vice Chairman, the National Development and Reform Commission. The purpose of the Climate Change Working Group will be to make preparations for the S&ED by taking stock of existing cooperation related to climate change, and the potential to enhance such efforts through the appropriate ministerial channels; and by identifying new areas for concrete, cooperative action to foster green and low-carbon economic growth, including through the use of public-private partnerships, where appropriate. The Climate Change Working Group should include relevant government ministries and will present its findings to the Special Representatives of the leaders for the S&ED at their upcoming meeting.

Both sides also noted the significant and mutual benefits of intensified action and cooperation on climate change, including enhanced energy security, a cleaner environment, and more abundant natural resources. They also reaffirmed that working together both in the multilateral negotiation and to advance concrete action on climate change can serve as a pillar of the bilateral relationship, build mutual trust and respect, and pave the way for a stronger overall collaboration. Both sides noted a common interest in developing and deploying new environmental and clean energy technologies that promote economic prosperity and job creation while reducing greenhouse gas emissions.

In light of previous joint statements, existing arrangements, and ongoing work, both sides agree that it is essential to enhance the scale and impact of cooperation on climate change, commensurate with the growing urgency to deal with our shared climate challenges.

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<sup>[1]</sup> The text of the Joint Statement can be found in Annex 1.

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## SUMMARY OF THE WARSAWCLIMATE CHANGE CONFERENCE: 11-23 NOVEMBER 2013

The Warsaw Climate Change Conference took place from 11-23 November 2013 in Poland. It included the 19th session of the Conference of the Parties (COP 19) to the UN Framework Convention on Climate Change (UNFCCC) and the ninth session of the Conference of the Parties serving as the Meeting of the Parties to the Kyoto Protocol (CMP 9). The conference also included meetings of three subsidiary bodies: the 39th sessions of the Subsidiary Body for Scientific and Technological Advice (SBSTA 39) and the Subsidiary Body for Implementation (SBI 39), and the third part of the second session of the *Ad Hoc* Working Group on the Durban Platform for Enhanced Action (ADP 2).

Marking the second time that UN climate change negotiations have taken place in Poland, the conference drew over 8,300 participants, including 4,022 government officials, 3,695 representatives of UN bodies and agencies, intergovernmental organizations and civil society organizations, and 658 members of the media.

Negotiations in Warsaw focused on the implementation of agreements reached at previous meetings, including pursuing the work of the *Ad Hoc* Working Group on the Durban Platform for Enhanced Action. Concluding 27 hours after its scheduled closing time, the meeting adopted an ADP decision that invites parties to initiate or intensify domestic preparations for their intended nationally-determined contributions, and resolves to accelerate the full implementation of the Bali Action Plan and pre-2020 ambition. Parties also adopted a decision establishing the Warsaw international mechanism on loss and damage, and the "Warsaw REDD+ framework," a series of seven decisions on REDD+ finance, institutional arrangements and methodological issues.

## A BRIEF HISTORY OF THE UNFCCC AND THE KYOTO PROTOCOL

The international political response to climate change began with the adoption of the UNFCCC in 1992, which sets out a framework for action aimed at stabilizing atmospheric concentrations of greenhouse gases (GHGs) to avoid "dangerous anthropogenic interference with the climate system." The

Convention, which entered into force on 21 March 1994, now has 195 parties.

In December 1997, delegates to COP 3 in Kyoto, Japan, agreed to a protocol to the UNFCCC that committed industrialized countries and countries in transition to a market economy to achieve emission reduction targets. These countries, known as Annex I parties under the UNFCCC, agreed to reduce their overall emissions of six GHGs by an average of 5% below 1990 levels in 2008-2012 (first commitment period), with specific targets varying from country to country. The Kyoto Protocol entered into force on 16 February 2005 and now has 192 parties.

### LONG-TERM NEGOTIATIONS IN 2005-2009:

Convening in Montreal, Canada, in 2005, CMP 1 decided to establish the *Ad Hoc* Working Group on Annex I Parties' Further Commitments under the Kyoto Protocol (AWG-KP) in accordance with Protocol Article 3.9, which mandated consideration of Annex I parties' further commitments at least seven years before the end of the first commitment period. COP 11 created a process to consider long-term cooperation

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under the Convention through a series of four workshops known as “the Convention Dialogue.”

In December 2007, COP 13 and CMP 3 in Bali, Indonesia, resulted in agreement on the Bali Roadmap on long-term issues. COP 13 adopted the Bali Action Plan and established the *Ad Hoc* Working Group on Long-term Cooperative Action under the Convention (AWG-LCA) with a mandate to focus on mitigation, adaptation, finance, technology and a shared vision for long-term cooperative action. Negotiations on Annex I parties’ further commitments continued under the AWG-KP. The deadline for concluding the two-track negotiations was Copenhagen in 2009.

**COPENHAGEN:** The UN Climate Change Conference in Copenhagen, Denmark, took place in December 2009. The high-profile event was marked by disputes over transparency and process. During the high-level segment, informal negotiations took place in a group consisting of major economies and representatives of regional and other negotiating groups. Late in the evening of 18 December these talks resulted in a political agreement, the “Copenhagen Accord,” which was then presented to the COP plenary for adoption. After 13 hours of debate, delegates ultimately agreed to “take note” of the Copenhagen Accord. In 2010, over 140 countries indicated support for the Accord. More than 80 countries also provided information on their national mitigation targets or actions. Parties also agreed to extend the mandates of the AWG-LCA and AWG-KP until COP 16 and CMP 6 in 2010.

**CANCUN:** The UN Climate Change Conference in Cancun, Mexico, took place in December 2010, where parties finalized the Cancun Agreements. Under the Convention track, Decision 1/CP.16 recognized the need for deep cuts in global emissions in order to limit the global average temperature rise to 2°C above pre-industrial levels. Parties agreed to consider strengthening the global long-term goal during a Review by 2015, including in relation to a proposed 1.5°C target. They took note of emission reduction targets and nationally appropriate mitigation actions (NAMAs) communicated by developed and developing countries, respectively. Decision 1/CP.16 also addressed other aspects of mitigation, such as: measuring, reporting and verification (MRV); and reducing emissions from deforestation and forest degradation in developing countries; and the role of conservation, sustainable management of forests, and enhancement of forest carbon stocks in developing countries (REDD+).

The Cancun Agreements also established several new institutions and processes, including the Cancun Adaptation Framework, Adaptation Committee, and the Technology Mechanism, which includes the Technology Executive Committee (TEC) and the Climate Technology Centre and Network (CTCN). The Green Climate Fund (GCF) was created and designated as an operating entity of the Convention’s financial mechanism governed by a 24-member board. Parties agreed to set up a Transitional Committee tasked with the Fund’s design and a Standing Committee to assist the COP with respect to the financial mechanism. Parties also recognized the commitment by developed countries to provide US\$30 billion of fast-start finance in 2010-2012, and to jointly mobilize US\$100 billion per year by 2020.

Under the Protocol track, the CMP urged Annex I parties to raise the level of ambition towards achieving aggregate emission reductions consistent with the range identified in the Fourth Assessment Report (AR4) of the Intergovernmental Panel on Climate Change (IPCC), and adopted Decision 2/CMP.6 on land use, land-use change and forestry (LULUCF). The mandates of the two AWGs were extended for another year.

**DURBAN:** The UN Climate Change Conference in Durban, South Africa, took place from 28 November to 11 December 2011. The Durban outcomes covered a wide range of topics, notably the establishment of a second commitment period under the Kyoto Protocol, a decision on long-term cooperative action under the Convention and agreement on the operationalization of the GCF. Parties also agreed to launch the new ADP with a mandate “to develop a protocol, another legal instrument or an agreed outcome with legal force under the Convention applicable to all Parties.” The ADP is scheduled to complete these negotiations by 2015. The new instrument should enter into effect from 2020 onwards. In addition, the ADP was also mandated to explore actions to close the pre-2020 ambition gap in relation to the 2°C target.

**DOHA:** The UN Climate Change Conference in Doha, Qatar, took place from 26 November to 8 December 2012. The conference resulted in a package of decisions, referred to as the “Doha Climate Gateway.” These include amendments to the Kyoto Protocol to establish its second commitment period and agreement to terminate the AWG-KP’s work in Doha. The parties also agreed to terminate the AWG-LCA and negotiations under the Bali Action Plan. A number of issues requiring further consideration were transferred to the SBI and SBSTA, such as: the 2013-15 review of the global goal; developed and developing country mitigation; the Kyoto Protocol’s flexibility mechanisms; national adaptation plans (NAPs); MRV; market and non-market mechanisms; and REDD+. Key elements of the Doha outcome also included agreement to consider loss and damage, “such as an institutional mechanism to address loss and damage in developing countries that are particularly vulnerable to the adverse effects of climate change.”

**ADP 2:** ADP 2 met in Bonn, Germany, from 29 April to 3 May 2013. The session was structured around workshops and roundtable discussions, covering the ADP’s two workstreams. Many felt this format was helpful in moving the ADP discussions forward. Several delegates noted, however, that the ADP needs to become more focused and interactive in future sessions.

**BONN:** The Bonn Climate Change Conference took place from 3-14 June 2013. SBI 38 was characterized by an agenda dispute concerning a proposal by the Russian Federation, Belarus and Ukraine to introduce a new item on legal and procedural issues related to decision-making under the COP and CMP. As no solution to the dispute was found, the SBI was unable to launch substantive work. SBSTA 38 achieved what many saw as good progress, *inter alia*, on REDD+ and several methodological issues. The resumed ADP 2 was structured around workshops and roundtables. No agreement was reached on establishing one or more contact groups to move part of the work to a more formal setting. Many, however, felt that switching to a

negotiating mode will be important to ensure that the ADP makes progress in future sessions.

## REPORT OF THE WARSAWCLIMATE CHANGE CONFERENCE

COP 19 and CMP 9 opened on Monday morning, 11 November 2013. COP 18/CMP 8 President Abdullah bin Hamad Al-Attiyah, Qatar, highlighted the Doha Climate Gateway and progress made in Doha. Marcin Korolec, Minister of the Environment, Poland, called on “each party to contribute an ingredient to help cure the planet,” expressing hope that COP 19 will build a solid foundation for addressing climate change. Reminding delegates of the Olympic motto “faster, higher, stronger,” UNFCCC Executive Secretary Christiana Figueres underscored that what happens at the National Stadium in Warsaw “is not a game: we either all win or lose.”

Welcoming delegates, Hanna Gronkiewicz-Waltz, Mayor of Warsaw, highlighted her city’s sustainable activities in water management, transportation and energy. Reporting on unprecedented changes in the climate system and their consequences, IPCC Chair Rajendra Pachauri stressed the need for greenhouse gas (GHG) emissions to peak by 2015 and increasing the share of renewable energy.

This report summarizes the discussions by the COP, CMP, ADP, SBI and SBSTA based on their respective agendas. Negotiations and outcomes under the COP and CMP on issues forwarded to the SBI, SBSTA and ADP are summarized in the context of negotiations under the relevant subsidiary body.

## CONFERENCE OF THE PARTIES

On Monday, 11 November, Marcin Korolec, Minister of the Environment, Poland, was elected COP 19/CMP 9 President by acclamation.

**ORGANIZATIONAL MATTERS:** Parties agreed to apply the draft rules of procedure (FCCC/CP/1996/2) with the exception of draft rule 42 on voting. The COP then adopted the agenda (FCCC/CP/2013/1), with the agenda item on the second review of the adequacy of Convention Articles 4.2(a) and (b) held in abeyance. Parties also agreed to the accreditation of observer organizations (FCCC/CP/2013/2).

**Election of officers other than the President:** COP President Korolec indicated that consultations will be conducted on the election of officers. On 23 November, the COP closing plenary elected members of the COP Bureau: SBSTA Chair Emmanuel Dumisani Dlamini (Swaziland); SBI Chair Amena Yauvoli (Fiji); Cheik Ndiaye Sylla (Senegal); Ravi Shanker Prasad (India); Su Wei (China); Jaime Hermida Castillo (Nicaragua); Jorge Voto-Bernales (Peru); Nicole Wilke (Germany); Jo Tyndall (New Zealand); and Marina Shvangiradze (Georgia) as Rapporteur.

The COP also elected: the SBI Bureau, with Ilhomjon Rajabov (Tajikistan) as Vice-Chair and Mabafokeng F. Mahahabisa (Lesotho) as Rapporteur; and the ADP Bureau, with Anna Serzysko (Poland) as Rapporteur.

The COP also elected officers to the Technology Executive Committee (TEC) and the Consultative Group of Experts (CGE) on National Communications from non-Annex I parties. Consultations will continue on the outstanding nominations. The list of nominees is available on the UNFCCC website.

**Dates and venues of future sessions:** In plenary on 22 November, the COP adopted a decision on future sessions (FCCC/CP/2013/L.2), accepting the offer by Peru to host COP 20 and CMP 10 in Lima from 1-12 December 2013; by France to host COP 21 and CMP 11 in Paris from 30 November to 11 December 2015; and by Senegal to host COP 22 and CMP 12 in Dakar. Minister Manuel Pulgar-Vidal Otálora (Peru) said that Peru would lead negotiations actively, inclusively and transparently, emphasizing that progress at COP 20 will depend on, *inter alia*, dialogue between developed and developing countries, and mobilization of all actors, including civil society and the private sector, and inviting parties to confront climate change with solidarity and effectiveness. Reminding delegates of the challenge ahead of COP 21, Minister Laurent Fabius (France) called upon delegates “to go from chaos to cosmos,” adding that the 2015 agreement will have to promote a new economic model and more solidarity. Minister Mor Ngom (Senegal) announced Senegal’s bid to host COP 22 in Dakar in 2016, encouraging parties to go beyond “narrow considerations to be together and act together.”

**Adoption of the report on credentials:** On 22 November, the COP adopted the report on credentials (FCCC/CP/2013/9).

**REPORTS OF THE SUBSIDIARY BODIES:** On Friday 22 November, the COP adopted the reports of SBSTA 38 and SBSTA 39 (FCCC/SBSTA/2013/3 and Add.1&2; and FCCC/SBSTA/2013/L.21), as well as the report of SBI 39 (FCCC/SBI/2013/L.1).

**Report of the ADP:** On Saturday, 23 November, the COP adopted the Report of the ADP and the decision on further advancing the Durban Platform (see page 10).

## CONSIDERATION OF PROPOSALS BY PARTIES

**UNDER ARTICLE 17 OF THE CONVENTION:** This item (FCCC/CP/2009/3-7 and FCCC/CP/2010/3) was first taken up by the COP on Monday, 11 November. The COP noted proposals by Japan (FCCC/CP/2009/3), Tuvalu (FCCC/CP/2009/4), Australia (FCCC/CP/2009/5), Costa Rica (FCCC/CP/2009/6), the US (FCCC/CP/2009/7) and Grenada (FCCC/CP/2010/3). During the COP closing plenary on Friday, 22 November, the COP agreed to include this item in the provisional agenda for COP 20.

## CONSIDERATION OF PROPOSALS BY PARTIES FOR AMENDMENTS TO THE CONVENTION UNDER

### ARTICLE 15: Proposal from the Russian Federation:

This issue (FCCC/CP/2011/5) was first taken up by the COP on 13 November. It was subsequently taken up in informal consultations facilitated by Iwona Rummel-Bulska (Poland) but no agreement was reached. On 22 November, the COP agreed to include this item on the agenda for COP 20.

**Proposal from Papua New Guinea and Mexico:** This issue (FCCC/CP/2011/4/Rev.1) was first taken up by the COP on 13 November. It was subsequently taken up in informal consultations facilitated by Iwona Rummel-Bulska but no agreement was reached. On 22 November, the COP agreed to include this item on the agenda for COP 20.

**REPORT OF THE ADAPTATION COMMITTEE:** These discussions are summarized under the SBI agenda item on the report of the Adaptation Committee (see page 17).

**DEVELOPMENT AND TRANSFER OF TECHNOLOGIES AND IMPLEMENTATION OF THE TECHNOLOGY MECHANISM: Joint annual report of the TEC and CTCN:** These discussions are summarized under the SBI agenda item on the joint annual report of the TEC and CTCN (see page 19).

**Report on modalities and procedures of the CTCN and its Advisory Board:** These discussions are summarized under the SBI agenda item on the report on modalities and procedures of the CTCN and its Advisory Board (see page 19).

**2013-2015 REVIEW:** These discussions are summarized under the SBI agenda item on the 2013-2015 review (see page 20).

**MATTERS RELATING TO FINANCE: Work Programme on Long-term Finance:** This issue (FCCC/CP/2013/7) was taken up by the COP on Wednesday, 13 November. Long-term Finance (LTF) Work Programme Co-Chair Mark Storey (Sweden) reported on the extended work programme on LTF, highlighting the need for transparency in the definition and tracking of LTF, and calling for identifying ways of scaling up private finance for adaptation.

The Philippines, for the Group of 77 and China (G-77/China), said a successful outcome in 2015 depends on progress on predictability, accountability and sustainability of LTF. Egypt, for the African Group, underlined that the level of action on climate change is related to the level of support provided to developing countries. Maldives encouraged developed countries to reach a burden-sharing agreement to reach the US\$100 billion annual goal. Colombia, for the Association of Independent Latin American and Caribbean states (AILAC), urged: clarity and predictability in the provision of finance; clarity in the scale of resources to be mobilized; and sufficient funding for the Adaptation Fund. The European Union (EU) indicated that it has fulfilled and reported on LTF obligations. The Republic of Korea suggested setting up a working group on LTF to start a political dialogue on this issue.

This issue was further discussed in a contact group co-chaired by Kamel Djemouai (Algeria) and Herman Sips (the Netherlands), together with all other COP finance sub-items except REDD+ (namely: report of the Standing Committee on Finance (SCF), report of the Green Climate Fund (GCF) and guidance, arrangement between the COP and the GCF, report of the Global Environment Facility (GEF) and guidance, and fifth review of the financial mechanism), which convened throughout the meeting.

In the contact group on Wednesday, 13 November, parties exchanged views on prioritization and sequencing of sub-items. The Philippines, for the G-77/China, suggested sequencing from easier to more difficult. The EU proposed having “a clear starting and landing point,” and the US stated it looks forward to the high-level ministerial dialogue on finance. Many parties agreed that the sub-item on arrangements between the GCF and the COP is the least contentious one, while LTF is the most difficult one. Many developing countries, including Colombia, for AILAC, and Saudi Arabia, stressed LTF as a priority.

Discussions on the sub-items, based on their alphabetical order on the COP agenda, continued, starting with LTF, on

Thursday, 14 November. Most developing countries stressed a COP decision on LTF as one of the most important ones. Some urged implementation of Convention Article 4.7 (finance and technology transfer), stressing that the provision of resources is an obligation for governments, and noting that financial resources contributing towards the US\$100 billion target will not be “new,” but constitute delivery of a commitment already taken. A number of developing countries called for, *inter alia*, more concrete outcomes, and clarity and predictability in the form of mid-term targets or quantified pathways to the US\$100 billion target. Many developed countries underscored the need for effectiveness and enabling environments. Some developed countries indicated that no financing commitments would be made in Warsaw and rejected quantified pathways, emphasizing work undertaken towards achieving the 2020 goal. Most concurred on the importance of efforts to achieve the 2°C target; as well as transparency and trust-building.

In the COP/CMP President’s informal stocktaking plenary on Thursday, 21 November, the COP President reported he had requested Ministers Maria Kiwanuka (Uganda) and Martin Lidegaard (Denmark) to hold consultations aimed at resolving outstanding issues. On 22 November, Minister Ephraim Kamuntu (Uganda) replaced Minister Kiwanuka.

After extensive consultations, on Saturday, 23 November, the COP adopted the decision.

**Final Outcome:** In its decision (FCCC/CP/2013/L.13), the COP, *inter alia*:

- takes notes of the LTF Co-Chairs’ report on the LTF work programme;
- underlines the urgency of implementing commitments related to finance and technology transfer under the Convention;
- recognizes the commitment by developed countries to jointly mobilize US\$100 billion annually by 2020 in the context of meaningful mitigation actions and transparency of implementation, and the importance of providing clarity on the level of financial support;
- acknowledges the pledges and announcements by developed countries since COP 18;
- requests parties to enhance their enabling environments and policy frameworks;
- urges developed countries to maintain continuity of mobilization of public climate finance at increasing levels from the fast-start finance period from a wide variety of sources, including public, private and alternative;
- calls on developed countries to channel a substantial share of public funds to adaptation and recalls that a significant share of new multilateral funding for adaptation should flow through the GCF;
- requests developed countries to prepare biennial submissions on their strategies and approaches for scaling up climate finance from 2014-2020, including information on quantitative and qualitative elements of a pathway;
- requests the SCF to consider ongoing technical work on operational definitions of climate finance; and
- decides to continue deliberations on LTF, including in in-session workshops, and convene a biennial high-level ministerial dialogue on climate finance from 2014-2020.

**Report of the Standing Committee on Finance:** This issue (FCCC/CP/2013/8) was taken up by the COP on Wednesday, 13 November. SCF Co-Chairs Diann Black-Layne (Antigua and Barbuda) and Stefan Schwager (Switzerland) introduced the report. The Philippines, for the G-77/China, and Egypt, for the African Group, called for work on the MRV of support. The issue was further discussed in the contact group co-chaired by Djemouai and Sips. The discussions in that contact group are summarized under the sub-item on LTF above. On Saturday, 23 November, the COP adopted the decision.

**Final Outcome:** In its decision (FCCC/CP/2013/L.8), the COP, *inter alia*:

- notes the report of the SCF and welcomes the transparency and openness of its work;
- takes note of the initial forum of the SCF and invites the SCF to consider focusing its second forum in 2014 on mobilizing finance for adaptation from public and private sectors;
- endorses the workplan of the SCF for 2014-2015 and takes note of information on the biennial assessment and overview of climate finance flows, to be conducted in 2014;
- invites the SCF to consider ways to increase work on MRV of support; and
- calls on the SCF to enhance its linkages with the SBI and thematic bodies of the Convention.

**Report of the GCF to the COP and guidance to the GCF:**

This issue (FCCC/CP/2013/6, 8 and MISC.3) was taken up by the COP on Wednesday, 13 November. Former GCF Co-Chair Zaheer Fakir (South Africa) presented the report, and informed that Manfred Konukiewicz (Germany) and Jose Maria Clemente Sarte Salceda (Philippines) had been elected as the new GCF Co-Chairs. The Philippines, for the G-77/China, Maldives, for the Alliance of Small Island States (AOSIS), and others called for a rapid and substantial operationalization and capitalization of the GCF. The G-77/China underscored that the Fund's Private Sector Facility will be country-driven and will pursue sustainable development. The African Group called for an initial mobilization, a replenishment process, and a focus on adaptation finance. India called for balancing mitigation and adaptation funding. The issue was further discussed in the contact group co-chaired by Djemouai and Sips. On Saturday, 23 November, the COP adopted the decision.

**Final Outcome:** In its decision (FCCC/CP/2013/L.12), the COP, *inter alia*:

- takes note of the second annual report of the GCF Board and welcomes the establishment of the GCF's independent secretariat and selection of its Executive Director, and the entry into force of the headquarters agreement;
- notes the progress made by the Board to ensure the operationalization of the GCF;
- decides to adopt initial guidance to the GCF on policies, programme priorities and eligibility criteria, requesting the Fund to: balance the allocation of resources between adaptation and mitigation; pursue a country-driven approach; and take into account the immediate needs of vulnerable developing countries in allocating resources for adaptation, and confirm the eligibility of all developing countries.

In its additional guidance to the GCF, the COP:

- stresses the need for full operationalization of the GCF;
- urges the Board to finalize the essential requirements relating to managing financial resources, and calls for ambitious and timely contributions by developed countries to enable the GCF to prepare the initial resource mobilization by COP 20;
- underlines that initial resource mobilization should reach a very significant scale; and
- invites financial inputs from a variety of other sources.

**Arrangements between the COP and the GCF:** This issue (FCCC/CP/2013/6 and 8) was taken up by the COP on Wednesday, 13 November. COP President Korolec noted that the COP had requested the SCF and GCF Board to develop arrangements between the COP and the GCF. The Philippines, for the G-77/China, emphasized: that the GCF must be guided by the COP and be accountable to it; and the need to provide guidance on issues, such as eligibility criteria, as soon as possible. The issue was further discussed in the contact group co-chaired by Djemouai and Sips. The discussions in that contact group are summarized under the sub-item on LTF (see page 4). On Saturday, 23 November, the COP adopted the decision.

**Final Outcome:** In its decision (FCCC/CP/2013/L.10), the COP, *inter alia*:

- takes note on the report of the SCF containing the draft arrangements presented to the GCF Board, noting that the Board has approved them;
- agrees to the arrangements between the COP and the GCF contained in the annex to the decision, thereby bringing the arrangements into force; and
- requests the GCF Board to report on the implementation of the arrangements in its annual reports to the COP, starting at COP 20.

**Report of the GEF to the COP and Guidance to the GEF:**

This issue (FCCC/CP/2013/3 & Add.1, 8 and MISC.4, and FCCC/SBI/2013/INF.9) was taken up by the COP on Wednesday, 13 November. The GEF presented its annual report and an update on the status of resources. On views and recommendations from parties on elements to be taken into account in developing guidance to the GEF, the Philippines, for the G-77/China, expressed support for the GEF's work and requested that the GEF develop a strategy for its replenishment, considering its role in the evolving financial architecture, including the GCF. Highlighting support to technology development and transfer, Uganda indicated that more resources need to be raised to address developing countries' adaptation and mitigation needs. The issue was further discussed in the contact group co-chaired by Djemouai and Sips. The discussions in that contact group are summarized under the sub-item on LTF (see page 4). On Saturday, 23 November, the COP adopted the decision.

**Final Outcome:** In its decision (FCCC/CP/2013/L.11), the COP, *inter alia*:

- takes note of the GEF annual report and notes the SCF's recommendations regarding draft guidance to the GEF;
- welcomes ongoing work of the GEF on the sixth replenishment period and the draft GEF 2020 strategy;
- calls upon developed countries and invites other parties that make voluntary contributions to the GEF to ensure a robust sixth replenishment;

- encourages the GEF to finalize the accreditation of new project agencies and assess the possibilities for expanding the direct access modality; and
- encourages the GEF to strengthen collaboration with the SCF.

**Fifth Review of the financial mechanism:** This issue (FCCC/CP/2013/8 and INF.2) was taken up by the COP on Wednesday, 13 November. The Philippines, for the G-77/China, emphasized that the Convention's financial mechanism should remain in place for any new agreement, stressing the need to ensure predictability and accessibility, as well as balance in the use of financial resources. The issue was further discussed in the contact group co-chaired by Djemouai and Sips. On Saturday, 23 November, the COP adopted the decision.

**Final Outcome:** In its decision (FCCC/CP/2013/L.9), the COP, *inter alia*:

- welcomes the draft updated guidelines provided by the SCF;
- decides to adopt the updated guidelines annexed to the decision; and
- requests the SCF to continue to provide expert input to the fifth review of the financial mechanism, with a view to the review being finalized by COP 20.

**Results-based finance for the full implementation of activities in Decision 1/CP.16, Paragraph 70 (REDD+):** This issue (FCCC/CP/2013/5) was first addressed by the COP on Monday, 11 November, and subsequently in a contact-group co-chaired Agus Sari (Indonesia) and Christina Voigt (Norway). On Friday, 22 November, the COP adopted the decision.

**Final Outcome:** In its decision (FCCC/CP/2013/L.5) the COP, *inter alia*:

- reaffirms that results-based finance provided to developing country parties for the full implementation of REDD+ activities may come from a variety of sources, public and private, bilateral and multilateral, including alternative sources;
- agrees that developing countries seeking to obtain and receive results-based payments should provide the most recent summary of information on how all safeguards have been addressed and respected before they can receive results-based payments;
- encourages entities financing REDD+ activities, including the GCF in a key role, to collectively channel adequate and predictable results-based finance in a fair and balanced manner, taking into account different policy approaches; and
- decides to establish an information hub on the web platform on the UNFCCC website as a means to publish information on the results of REDD+ activities and corresponding results-based payments.

**NATIONAL COMMUNICATIONS: National communications from Annex I Parties:** These discussions are summarized under the SBI agenda item on the national communications from Annex I parties (see page 15).

**National communications from non-Annex I Parties:** These discussions are summarized under the SBI agenda item on the national communications from non-Annex I parties (see page 15).

## CAPACITY-BUILDING UNDER THE CONVENTION:

These discussions are summarized under the SBI agenda item on capacity-building under the Convention (see page 20).

**IMPLEMENTATION OF ARTICLE 4, PARAGRAPHS 8 AND 9, OF THE CONVENTION: Implementation of the Buenos Aires programme of work on adaptation and response measures (Decision 1/CP.10):** These discussions are summarized under the SBI agenda item on Decision 1/CP.10 (see page 20).

**LEAST DEVELOPED COUNTRIES (LDCs):** These discussions are summarized under the SBI agenda item on Least Developed Countries (see page 18).

**GENDER AND CLIMATE CHANGE:** These discussions are summarized under the SBI agenda item other matters (see page 21).

**ADMINISTRATIVE, FINANCIAL AND INSTITUTIONAL MATTERS: Budget performance for the biennium 2012–2013:** These discussions are summarized under the SBI agenda item on budget performance for the biennium 2012–13 (see page 20).

**Programme budget for the biennium 2014–2015:** These discussions are summarized under the SBI agenda item on the programme budget for the biennium 2014–2015 (see page 21).

**Privileges and immunities for individuals serving on constituted bodies established under the Convention:** These discussions are summarized under the SBI agenda item on privileges and immunities for individuals serving on constituted bodies established under the Convention (see page 21).

**Decision-making in the UNFCCC process:** This issue was taken up by the COP on Monday, 11 November. COP President Korolec underlined that the proposed new item on decision-making in the UNFCCC process is distinct from the item on the rules of procedure, and the proposal by Papua New Guinea and Mexico to amend Convention Articles 7 and 18. He also assured parties that discussions on this new item will be forward-looking and that its inclusion will not prejudice outcomes.

On Wednesday, 13 November, during the COP plenary, Fiji, for the G-77/China, requested that the informal consultations be open-ended and cautioned against duplication, prejudice and overlap. Informal consultations facilitated by Vice Minister Gabriel Quijandria Acosta (Peru) and Vice Minister Beata Jaczewska (Poland) were held throughout the meeting. Some parties sought reassurance that this issue would not be conflated with, or prejudice the outcome of, discussions on the rules of procedure; and the proposal from Papua New Guinea and Mexico to amend Convention Articles 7 and 18. Some parties emphasized the need to understand the meaning of “consensus,” and to clarify the role of the presiding officer and the Secretariat. One party stressed the need for “a clear legal environment, where we do not deviate from procedures that are not in force but yet applied.” Others highlighted that the rules of procedure have not been adopted because of lack of agreement on voting rules, and called for a forward-looking process, without re-opening past decisions.

There was convergence on a party-driven process and the need to: respect the sovereignty of all parties; recognize that all have an opportunity to be heard; and ensure inclusiveness,

legitimacy and transparency. Some parties emphasized the need to avoid taking decisions “in the corridors or backrooms,” citing COP 15 as an example. While there was some convergence on the timeliness of discussions to increase the effectiveness of negotiations, some expressed concern over “sacrificing inclusiveness for effectiveness.” Others called for revisiting recent practices that favored the adoption of decisions as “a package.” Many questioned the way small negotiating groups are constituted, stressing that some parties with an interest in the issue may not get invited. On Saturday, 23 November, the COP adopted conclusions.

**Final Outcome:** In its conclusions (FCCC/CP/2013/L.3), the COP:

- notes the initial exchange of views on this agenda item and decides to continue discussions on decision-making in the UNFCCC process;
- requests the President, in collaboration with Peru as the host of COP 20, to undertake forward-looking, open-ended informal consultations on decision-making in the UNFCCC process in conjunction with the 40th session of the SBs;
- agrees that items 2(b) and 6(b) of the COP 19 agenda on rules of procedure and on the proposal from Papua New Guinea and Mexico, would continue to be considered under distinct and separate processes from this item; and
- agrees to continue its consideration of this item at COP 20.

#### HIGH-LEVEL MINISTERIAL DIALOGUE ON

**CLIMATE FINANCE:** On Wednesday, 20 November, a two-part ministerial dialogue mandated by COP 18 considered progress in mobilizing long-term climate finance, including efforts by developed countries to scale up finance after 2012.

The keynote speakers were UN Secretary-General Ban Ki-moon, President Jakaya Mrisho Kikwete (United Republic of Tanzania), GEF CEO and Chairperson Naoko Ishii, GCF Executive Director Hela Cheikhrouhou, and Nicholas Stern, London School of Economics. The dialogue was co-chaired by Ministers Maria Kiwanuka (Uganda) and Martin Lidegaard (Denmark).

During the first part of the dialogue, participants were invited to consider the “state of play” and progress in scaling up climate finance, including: gaps after the fast-start finance period; ways to build momentum for public finance, especially for adaptation; and challenges in mobilizing climate finance. Opening “icebreaker” statements were given by Minister Lisel Alamilla (Belize), Minister Dalila Boudjemaa (Algeria), Minister Peter Altmeier (Germany), and Todd Stern, Special Envoy for Climate Change (US).

During the second part, participants were asked to explore efforts being undertaken to scale up the mobilization of climate finance, *inter alia*: collective policy and regulatory actions to redirect private finance flows; facilitative actions for effective deployment of climate finance; and strategies by individual developed countries. “Icebreaker” statements were delivered by Minister Tine Sundtoft (Norway), Secretary of State Edward Davey (UK), and Secretary of Environment and Natural Resources Juan José Guerra Abud (Mexico).

A summary of the ministerial dialogue is available at: <http://www.iisd.ca/vol12/enb12592e.html>

**CLOSING PLENARY:** The COP closing plenary first convened Friday evening, 22 November, to consider agreed items. The plenary was suspended at 9:00 pm, pending consultations on outstanding issues. The COP closing plenary resumed at 5:00 pm on Saturday, when President Korolec invited delegates to consider outstanding issues on the COP agenda, stressing that these were not a “package” and that each item would be addressed individually, including: the report of the ADP; matters related to finance; and adoption of the programme budget for the biennium 2014-2015. The plenary was again suspended at 5:50 pm pending consultations on remaining issues. The plenary resumed at 7:04 pm, when delegates considered: loss and damage; forum and work programme on the impact of the implementation of response measures; the Buenos Aires programme of work on adaptation and response measures; and rules of procedure. The plenary was again suspended from 7:30 to 8:43 pm, when it resumed to consider all remaining items, including election of officers, and adoption of the report. The COP adopted the meeting’s report (FCCC/CP/2013/L.4) and a decision expressing gratitude to Poland and the people of the city of Warsaw (FCCC/CP/2013/L.1) for hosting the conference. COP 19 President gavelled the meeting to a close at 8:52 pm on Saturday, 23 November 2013.

#### CONFERENCE OF THE PARTIES SERVING AS THE MEETING OF THE PARTIES TO THE KYOTO PROTOCOL

The CMP opened on Monday, 11 November and adopted the agenda and organization of work (FCCC/KP/CMP/2013/1). Fiji, for the G-77/China, proposed a new item on modalities and arrangements for the high-level ministerial roundtable to revisit the quantified emission limitation and reduction commitments for the second commitment period. Supported by Australia, the EU objected, stressing that the relevant decision from Doha on the ambition mechanism provides sufficient guidance on this matter. Noting the lack of consensus on its proposal, the G-77/China underlined that the issue could be raised under other matters. Parties adopted the agenda as originally proposed and agreed to the organization of work without amendment. For a summary of opening statements, see: <http://www.iisd.ca/vol12/enb12584e.html>

**ORGANIZATIONAL MATTERS: Election of replacement officers:** On Saturday, 23 November, the CMP elected officers to the Adaptation Fund Board; the Clean Development Mechanism (CDM) Executive Board; the Compliance Committee; and the Joint Implementation Supervisory Committee (JISC). Consultations will continue on outstanding nominations.

**Approval of the report on credentials:** On Saturday, 23 November, the CMP approved the credentials of representatives (FCCC/KP/CMP/2013/8).

**Status of ratification of the Doha Amendment to the Kyoto Protocol:** On Wednesday, 13 November, the Secretariat explained that the Doha Amendment requires 144 ratifications to enter into force and that the depositary has received instruments of acceptance from Barbados, Mauritius and the United Arab Emirates. The EU stressed its intention to ratify the Doha Amendment as soon as possible and noted that over 110 other parties will also need to ratify. Norway informed its parliament will soon consider a ratification proposal. Expressing



disappointment with the status of ratification, China announced its intention to ratify the Doha Amendment by the end of 2014. On Friday, 22 November, the Secretariat reported that it had received the instrument of acceptance of the Doha Amendment from Bangladesh. Switzerland asked for a correction to footnote 11 of the French translation of the Doha Amendment concerning Switzerland.

**REPORTS OF THE SUBSIDIARY BODIES:** On Friday, 22 November, the CMP adopted the reports of SBSTA 38 and SBSTA 39 (FCCC/SBSTA/2013/3 and Add.1&2; and FCCC/SBSTA/2013/L.21), and of SBI 39 (FCCC/SBI/2013/L.1).

**ISSUES RELATING TO THE CDM: Guidance relating to the CDM:** This issue (FCCC/KP/CMP/2013/5 (Parts I & II)) was first taken up by the CMP on Monday, 11 November, and subsequently in a contact group co-chaired by Giza Gaspar Martins (Angola) and Marco Berglund (Finland). During the CMP closing plenary on Saturday, 23 November, Ecuador called for political discussion on the issue of lack of demand for certified emission reductions (CERs). The CMP adopted a decision.

**Final Outcome:** In its decision (FCCC/KP/CMP/2013/L.10), the CMP, *inter alia*:

- expresses concern regarding the difficult market situation currently faced by CDM participants and the consequent loss of institutional capacity threatening the value of the CDM;
- encourages parties to make greater use of the CDM;
- designates as operational entities those entities that have been accredited, and provisionally designated, as operational entities by the Executive Board to carry out sector-specific validation and/or sector-specific verification functions;
- urges the Executive Board to expedite evaluating the use of the voluntary sustainable development tool and to report on its findings to CMP 10; and
- requests the Executive Board to develop guiding tools to assist designated national authorities in monitoring the sustainable development benefits in its territory of CDM activities, and simplify the validation process for activities that are deemed to be automatically additional.

**Review of the modalities and procedures for the CDM:** These discussions are summarized under the SBI agenda item on review of CDM modalities and procedures (see page 17).

**ISSUES RELATING TO JOINT IMPLEMENTATION (JI): Guidance relating to JI:** This item (FCCC/KP/CMP/2013/4) was first taken up by the CMP on Monday, 11 November, and subsequently in a contact group co-chaired by Dimitar Nikov (France) and Yaw Osafo (Ghana). On 22 November, the CMP adopted a decision.

**Final Outcome:** In its decision (FCCC/KP/CMP/2013/L.3) the CMP, *inter alia*:

- expresses concern regarding the difficult market situation currently faced by JI participants and the consequent loss of institutional capacity threatening the value of JI as a tool for parties;
- stresses the need to improve JI in the second commitment period of the Kyoto Protocol;
- takes note of the annual report for 2012–2013 of the Joint Implementation Supervisory Committee (JISC); and

- requests the JISC to submit recommendations on the accreditation system for JI aligned with that of the CDM, to be considered by SBI 40.

**Review of the JI guidelines:** These discussions are summarized under the SBI agenda item on review of the JI guidelines review (see page 17).

**Report of the Compliance Committee:** This issue (FCCC/KP/CMP/2013/3) was taken up by the CMP plenary on Wednesday, 13 November. Compliance Committee Co-Chair Khalid Abuleif (Saudi Arabia) presented the Committee's annual report. Ilhomjon Rajabov (Tajikistan) and Ida Kärnström (Sweden) co-chaired informal consultations. On 22 November, the COP adopted a decision.

**Final Outcome:** In its decision (FCCC/KP/CMP/2013/L.2), the CMP, *inter alia*:

- notes the work of the Compliance Committee during the reporting period; and
- adopts the amendments to the rules of procedure of the Compliance Committee annexed to the decision.

**ADAPTATION FUND: Report of the Adaptation Fund Board:** This issue (FCCC/KP/CMP/2013/2 and FCCC/SBI/2013/INF.2) was taken up in the CMP plenary on Wednesday, 13 November. Adaptation Fund Board (AFB) Chair Hans Olav Ibrekk introduced the report. Many parties underscored the need for predictable, adequate and sustainable funding. Benin described the gap between funds raised and the fundraising target as “a major blow” to the LDCs.” Egypt highlighted the Fund as the main source of adaptation support with direct access and called for a focus on replenishment options. Civil society constituencies: emphasized NAPs as an investment, not as cost; said underfunding is the result of unreliability of the market; and lamented that rich countries have avoided their moral obligation to provide funding. The issue was subsequently considered in a contact group co-chaired by Suzanty Sitorus (Indonesia) and Ana Fornells de Frutos (Spain). On Friday, 22 November, the CMP adopted a decision.

**Final Outcome:** In its decision (FCCC/KP/CMP/2013/L.6), the CMP, *inter alia*:

- takes note of the Adaptation Fund Board (AFB) report and information on the status of resources of the Fund;
- adopts the amendment to the terms and conditions of services to be provided by the World Bank as an interim trustee for the Fund;
- notes with concern issues related to the sustainability, adequacy and predictability of funding from the Fund, given the current prices of CERs;
- takes note with appreciation the efforts of the AFB to promote the accreditation of national implementing entities and direct access to the resources of the Fund;
- invites the AFB to provide to CMP 10 its views on the matters included in the terms of reference for the second review of the Adaptation Fund, annexed to the CMP 9 Decision (FCCC/KP/CMP/2013/L.7), taking into account the deliberations and conclusions of SBI 40;
- decides that an account held in the CDM registry for the Fund shall receive 2% of proceeds levied in accordance with Decision 1/CMP.8, paragraph 21;

- requests the AFB to consider the arrangements for the monetization of this share and forward its recommendations to CMP 10;
- requests the AFB to develop and approve the legal arrangements with the trustee regarding the 2% share for approval by the CMP;
- takes note of the AFB's fundraising strategy for 2013, and continues to encourage Annex I parties and international organizations to provide funding to support this strategy, and welcomes financial contributions and pledges made to the Fund in 2013.

**Second Review of the Adaptation Fund:** These discussions are summarized under the SBI agenda item on the Adaptation Fund (see page 19).

**NATIONAL COMMUNICATIONS FROM ANNEX I PARTIES THAT ARE ALSO PARTIES TO THE KYOTO PROTOCOL:** These discussions are summarized in the section on SBI item on Annex I national communications and GHG inventory data (see page 15).

**DATE OF THE COMPLETION OF THE EXPERT REVIEW PROCESS UNDER ARTICLE 8 OF THE KYOTO PROTOCOL FOR THE FIRST COMMITMENT PERIOD:** These discussions are summarized under the SBI agenda item "Other matters": expert review process under Article 8 of the protocol for the first commitment period (see page 21).

**ANNUAL COMPILATION AND ACCOUNTING REPORT FOR ANNEX B PARTIES UNDER THE KYOTO PROTOCOL:** These discussions are summarized under the SBI agenda item on Annex B parties' annual compilation and accounting report (see page 15).

**CLARIFICATION OF THE TEXT IN SECTION G (ARTICLE 3, PARAGRAPH 7 *TER*) OF THE DOHA AMENDMENT TO THE KYOTO PROTOCOL:** This item (FCCC/KP/CMP/2013/7) was first taken up during the CMP and SBSTA opening plenaries on Monday, 11 November. The issue was subsequently addressed as a SBSTA agenda item in an informal group facilitated by Nagmeldin Elhassan (Sudan). During the SBSTA closing plenary on Sunday, 17 November, Elhassan reported that the informal group was unable to complete work on this issue, and SBSTA adopted conclusions (FCCC/SBSTA/2013/L.31) inviting the CMP to consider the issue further. On Wednesday, 20 November, COP President Korolec informed during an informal stocktaking plenary that he had requested Iwona Rummel-Bulska (Poland) and Marzena Anna Chodor (Poland) to facilitate further consultations. During CMP plenary on Friday, 22 November, the CMP adopted conclusions.

**Final Outcome:** In its conclusions (FCCC/KP/CMP/2013/L.5), the CMP: notes it was unable to conclude work with regard to the request by Kazakhstan for clarification of the text in section G (Article 3, paragraph 7 *ter*) of the Doha Amendment to the Kyoto Protocol, in particular the information to be used to determine the "average annual emissions for the first three years of the preceding commitment period;" and requests SBSTA to continue its consideration at SBSTA 40.

## CAPACITY-BUILDING UNDER THE KYOTO

**PROTOCOL:** Discussions under this item are summarized under the SBI agenda item on capacity-building under the Protocol (see page 20).

**MATTERS RELATING TO ARTICLE 2.3 OF THE KYOTO PROTOCOL:** Discussions under this item are summarized under the SBI agenda item on Protocol Article 3.14 (see page 20).

**MATTERS RELATING TO ARTICLE 3.14 OF THE KYOTO PROTOCOL:** Discussions under this item are summarized under the SBI agenda item on Protocol Article 3.14 (see page 20).

**ADMINISTRATIVE FINANCIAL AND INSTITUTIONAL MATTERS: Budget performance for the biennium 2012-2013:** Discussions under this item are summarized under the SBI agenda item on budget performance for the biennium 2012-2013 (see page 20).

**Programme budget for the biennium 2014-2015:** Discussions under this item are summarized under the SBI agenda item on the programme budget for the biennium 2014-2015 (see page 21).

**CLOSING PLENARY:** On Saturday, 23 November, the CMP adopted the meeting's report (FCCC/KP/CMP/2013/L.4) and a decision expressing gratitude to Poland and the people of the city of Warsaw (FCCC/KP/CMP/2013/L.1) for hosting the conference. The CMP 9 President closed the meeting at 9:00 pm.

## COP 19 AND CMP 9 JOINT HIGH-LEVEL SEGMENT

The joint COP/CMP high-level segment was held on 19, 21 and 22 November. Donald Tusk, Prime Minister of Poland, opened the high-level segment and welcomed participants. Noting that Poland is hosting the COP/CMP for the second time, he outlined emerging challenges since Poznan: the financial crisis; failure to achieve a global agreement in Copenhagen; shifts in the world energy market; and recent IPCC findings. Emphasizing that "we cannot afford a failure; and cannot play with the climate," he said the key goal for Warsaw is to produce a "sober assessment" of what is necessary to achieve a global agreement.

Calling Warsaw an important stepping stone, UN Secretary-General Ban Ki-moon signaled a "steep climb" ahead. Among areas for action, he highlighted: ratifying the Kyoto Protocol's second commitment period; increasing ambition on mitigation, adaptation and finance for a large-scale transformation; sending the right policy signals to investors; and constructing an action agenda to meet the climate challenge by laying a firm foundation for the 2015 agreement.

UN General Assembly President John Ashe stated that, although he understands the challenges of negotiations, "the picture outside this room is bleak." He said parties must reach a deal in 2015, which should include pre-2020 ambition, a compliance mechanism, and applicability to all.

UNFCCC Executive Secretary Christiana Figueres said COP 19 is held in the context of "a clarion call from science, and a compelling call from the Philippines." She stressed the need for Warsaw to pave the way to Lima and Paris, and called for



ministers' active involvement on core deliverables: finance; "a cornerstone for" the loss and damage mechanism; increased pre-2020 ambition; and elements of the new agreement.

The high-level segment continued with statements from heads of state and government, deputy heads of state and government, ministers, and other heads of delegations. A webcast of the statements is available at: <http://bit.ly/HX8VgK>

#### **AD HOC WORKING GROUP ON THE DURBAN PLATFORM FOR ENHANCED ACTION (ADP)**

The opening plenary of the third part of the second session of the ADP (ADP 2-3), co-chaired by Kishan Kumarsingh (Trinidad and Tobago) and Artur Runge-Metzger (EU), took place on Tuesday, 12 November. The ADP's work was based on: the agenda (ADP/2013/AGENDA) adopted at the first part of ADP 2; and the Co-Chairs' scenario note (ADP.2013.16. InformalNote). For a summary of the opening statements, see: <http://www.iisd.ca/vol12/enb12585e.html>

**ORGANIZATIONAL MATTERS: Election of Officers:** At the ADP closing plenary on Saturday, 23 November, Co-Chair Kumarsingh announced that Anna Serzysko (Poland) would be the new ADP Rapporteur commencing after ADP 2-3.

**IMPLEMENTATION OF ALL THE ELEMENTS OF DECISION 1/CP.17:** On Tuesday, 12 November, the ADP began with a briefing and discussion on the overview of mandates and progress of work by institutions, mechanisms and arrangements under the Convention (FCCC/ADP/2013/INF.2). Guided by questions from the Co-Chairs, subsequent work during the first week took place under the two workstreams. Workstream 1 (2015 agreement) was discussed in open-ended consultations on content and elements of the 2015 agreement, including adaptation, mitigation, technology, finance, capacity-building, and transparency. Workstream 2 (pre-2020 ambition) was discussed in open-ended consultations on the way forward, as well as workshops on lessons learned from relevant experience of other multilateral environmental agreements, and on pre-2020 ambition, urbanization and the role of governments in facilitating climate action in cities.

During the second week, the ADP's work consisted of: negotiations based on a Co-Chairs' draft decision and conclusions in open-ended informal consultations on implementation of all the elements of Decision 1/CP.17; a Co-Chairs' special event; and a high-level ministerial dialogue on the Durban Platform for Enhanced Action. The ADP decision and conclusions were adopted during the closing plenary on Saturday, 23 November.

**OVERVIEW OF INSTITUTIONS, MECHANISMS AND ARRANGEMENTS UNDER THE CONVENTION:** On Tuesday, 12 November, Co-Chair Runge-Metzger identified the state of play under the Convention as "a natural entry point" into discussions under both ADP workstreams. The Secretariat presented the overview (FCCC/ADP/2013/INF.2), noting an online interface for future reference.

**WORKSTREAM 1: Adaptation:** Co-Chair Kumarsingh drew attention to the technical paper on adaptation (FCCC/TP/2013/10) during the ADP opening plenary on Tuesday, 12 November. Many parties appreciated the signal sent by holding the first ADP open-ended consultations on adaptation. During

informal consultations on Wednesday, 13 November, the Secretariat introduced the synthesis of submissions on the costs, benefits and opportunities for adaptation (FCCC/TP/2013/10).

Many parties indicated that the 2015 agreement should: reflect the urgency of adaptation to signal to international institutions, donor countries and the private sector the need for partnerships; recognize parties' ongoing adaptation efforts; contain a holistic review component assessing national and global actions and needs; and strengthen the financial mechanism. Stressing transparency as key to building confidence, one party urged finalizing MRV arrangements and clarifying further pledges in Warsaw.

During open-ended consultations on Friday, 15 November, parties examined: strengthening the current adaptation framework; and adaptation in the 2015 agreement, including a proposed global goal. Many countries recognized the central role of NAPs, and underlined the global, regional, national and local dimensions of adaptation. Peru reiterated the proposal by AILAC to use national communications to reinforce NAPs and identify gaps. Saudi Arabia said NAPs should be a requirement for all countries. Indonesia, China and the Republic of Korea stressed the link between adaptation and sustainable development.

On finance, Malaysia, for the G-77/China, with India, China, Kenya and Egypt, expressed concern over lack of funding for adaptation. Mali called for funding for NAPs. India highlighted financing for technology transfer. The US indicated its commitment to support adaptation.

On institutional arrangements, many called for strengthening the existing institutions addressing adaptation under the Convention.

The G-77/China, Bangladesh, Kenya and others called for a global adaptation goal based on the proposal made by the African Group, determined by estimating adaptation needs according to emission scenarios. Australia, Norway, the Republic of Korea and the US stressed the technical difficulty of aggregating adaptation to a quantified global goal, with the US adding that setting such a goal could be counter-productive. ADP Co-Chair Kumarsingh invited the African Group, Australia, the US and others to consult on the proposed global goal on adaptation. Nepal, the Philippines and Nauru, for AOSIS, stressed the link between mitigation and adaptation. AOSIS stressed that small island developing states (SIDS) will be unable to adapt to some climate change impacts, and underscored that only ambitious and timely mitigation can reduce loss and damage.

**Mitigation:** During informal consultations on Wednesday, 13 November, a number of parties agreed on the importance to ensure broad participation in the 2015 agreement. Some stressed that mitigation commitments must be differentiated in accordance with the principle of common but differentiated responsibilities (CBDR), and that enhanced mitigation by developing countries depends on the provision of means of implementation.

Calls were made for agreement in Warsaw on launching national consultations on mitigation pledges. Parties also discussed the process for defining mitigation commitments. Some identified the need to balance the flexibility of nationally determined commitments and the rigidity of commonly agreed

rules. Suggestions were made to create “an upward spiral of ambition” with facilitative engagement to compare commitments among countries. It was also proposed that the 2015 agreement be flexible and adjustable to developments in science and capabilities. One party stressed that commitments must be fulfilled by domestic means, without relying on offsets. Parties discussed historical responsibilities, with some proposing to mandate the IPCC to develop a methodology, while others indicated that a focus on historical responsibilities will not ensure achievement of the 2°C goal.

**Technology:** On Thursday, 14 November, parties agreed to open all open-ended consultations to observers. Co-Chair Kumarsingh invited parties to focus their discussions on how technology development and transfer could be reflected in the 2015 agreement and institutional arrangements for the post-2020 period.

Malaysia, for the G-77/China, stressed that technology development and transfer are key to enable low-emission trajectories in developing countries, and called for identification of specific amounts, timelines and sources of finance to strengthen the current reporting system. Venezuela lamented the lack of financial support.

Egypt, for the Like Minded Developing Countries (LMDCs), China and others called for a dedicated window for technology transfer in the GCF. The LMDCs, with Pakistan, called for a work programme on MRV of technological support, and, with China, Ecuador and others, the removal of barriers, including in relation to intellectual property rights (IPRs). India and Pakistan emphasized finance for IPRs. The LMDCs, China, Kuwait and others said the GCF could provide a dedicated window for IPR issues. Japan opposed taking up IPRs, while Bolivia, with Cuba, called for a workshop on this issue.

On the 2015 agreement, Nauru, for AOSIS, emphasized linking technology development and transfer to the financial mechanism. AOSIS, the LMDCs, Nepal, for the LDCs, and others urged technology development and transfer for mitigation and adaptation. Bolivia called for: strengthening the role of the TEC; a workshop to explore its mandate to guide the CTCN; and a repository of reliable technologies accessible to developing countries.

On institutional arrangements for the post-2020 period, AOSIS emphasized linking technology transfer and development to existing institutions under the financial mechanism. The LDCs said a technology mechanism should be integrated into the new agreement.

Consultations continued on Friday, 15 November. The US, with Canada, highlighted IPRs as critical for innovation. Canada emphasized that IPRs are sufficiently addressed in other fora. The US, the EU and Switzerland stated that IPRs are not the main barrier to technology transfer. Together with South Africa and Swaziland, for the African Group, the Philippines called for a built-in review mechanism for addressing the adequacy of support.

The African Group also called for Annex I countries to leverage private-sector support and for learning from other multilateral agreements. The EU suggested the 2015 agreement promote international technology cooperation, and emphasized

the role of the CTCN and the public and private sectors. He added that the Technology Mechanism should be the technology component for the post-2020 period and stressed the importance of enabling environments. Parties also called for: mapping technology needs through technology needs assessments; supporting traditional and indigenous knowledge transfer; engaging with other intergovernmental institutions to avoid duplication; and promoting synergies between the Technology Mechanism bodies.

**Finance:** During open-ended consultations on Thursday, 14 November, delegates considered climate finance in the 2015 agreement for the implementation of post-2020 commitments and post-2020 institutional arrangements.

Bolivia, China, Cuba, Ecuador, Kuwait, Iran, Nicaragua, Saudi Arabia, Sierra Leone and Venezuela questioned the proposed focus, stressing that developing countries are uncomfortable with concentrating on post-2020 issues without first discussing pre-2020 finance. Switzerland supported the Co-Chairs' proposed approach, saying that focused discussions will enable real progress. Most parties agreed that the 2015 agreement should build on existing institutions, noting the need for their enhancement. Many developing countries called for: new, additional and scaled up finance; public finance to be the main source of climate finance; MRV of support; a finance chapter in the 2015 agreement with the same legal force as the agreement's other elements; aggregate and individual targets for developed countries' financial commitments; and a finance roadmap. Concerned about suggestions implying financial commitments to be taken on by developing countries, some delegates also emphasized that South-South cooperation should be regarded as “voluntary efforts.”

Several developed countries emphasized the role of enabling environments in encouraging financial flows. Japan and the US underscored the need to incentivize both public and private investment, with the US identifying public finance as key for the LDCs, and highlighting the role of private finance in middle- and high-income economies. The US also observed that legally-binding elements of the 2015 agreement are yet to be determined. Canada said public finance alone will not suffice to address the needs of the poorest.

Switzerland highlighted the role of biennial reviews by the SCF, and the need to strengthen MRV of both public and private finance. He called for strengthened commitment with respect to the overall amount and donor base. Norway underlined the need for public finance for adaptation, and called for parties to use carbon-pricing and cost-effective market mechanisms to ensure compliance with the polluter-pays principle. Bangladesh stressed predictable adaptation finance.

**Capacity-building:** During open-ended consultations on Friday, 15 November, parties recognized that capacity-building is a cross-cutting issue, should figure prominently in the 2015 agreement and should be country-driven. Many developing countries said capacity-building should focus on both mitigation and adaptation.

Pakistan, for the LMDCs, the Dominican Republic, and Nepal, for the LDCs, stressed the need for support for capacity-building. St. Kitts and Nevis, for AOSIS, China and the Republic

of Korea called for a capacity-building window under the Convention's financial mechanism. The EU emphasized the role of the private sector, especially in terms of technology.

On institutional arrangements, the EU and Japan suggested strengthening the Durban Forum on Capacity-building. South Africa said the Durban Forum has not had the opportunity "to prove itself." Indonesia stressed the role of the Forum's national focal points. The US called for encouraging existing bodies under the Convention that carry out capacity-building. Algeria stressed that these bodies should be provided with adequate support. The Republic of Korea and Japan proposed mainstreaming capacity-building in all aspects of the 2015 agreement.

Saudi Arabia, supported by China and Swaziland, for the African Group, urged building countries' capacity to identify their capacity-building needs, and called for a working group on capacity-building. AOSIS stressed the need for a stand-alone body. The LDCs, AOSIS, South Africa, Cuba and others called for MRV of the delivery of capacity-building. The EU and the US highlighted their reporting on capacity-building activities. Colombia called for "an innovative look" to identify the recipients and multipliers of capacity-building. The US underscored the need for developing countries to build enabling environments.

**Transparency:** During open-ended consultations on Friday, 15 November, many parties highlighted transparency of actions and support, emphasizing the need for more work on MRV of support. Swaziland, for the African Group, stressed the need for improved transparency in finance, technology and capacity-building commitments through clarifying specific amounts, timelines and sources. Saint Lucia called for: a robust and transparent MRV system built on lessons learned from fast-start finance; indicators to assess the impact of support; standardized format for reporting by developed countries; and simplification of reporting by developing countries. The US highlighted that transparency can enhance the provision of support, and emphasized the need for equal transparency rules for providers and receivers.

The LMDCs highlighted developed and developing countries' differentiated responsibilities with respect to commitments and reporting, warning that attempts to develop common accounting rules applicable to all would delay action and progress. The African Group, supported by Algeria, cautioned against overburdening developing countries, and against equal obligations for Annex I and non-Annex I parties.

Calling for a common transparency and accountability framework for both up-front information on commitments and *ex post* MRV, Australia clarified that the intention is not to have the same rules apply to all parties under all circumstances or create unreasonable burdens.

On transparency of mitigation commitments, the US proposed a staged approach to maximize participation, with: all parties submitting nationally determined mitigation commitments under a single but flexible set of rules applicable to all; a global consultation process; and regular reviews at the implementation stage.

Regarding up-front information requirements when establishing mitigation commitments, the EU recognized the need for flexibility, while calling for information on: targets and target periods; sectors and GHGs covered; methodologies used; approaches to market mechanisms; and the accounting system for the land-use sector.

Regarding MRV for developed country mitigation, Nepal, for the LDCs, supported by China, called for accurate, complete and regular reviews, and stressed the need to avoid lowering the standards of the MRV and compliance system of the Kyoto Protocol.

**WORKSTREAM 2: The Way Forward:** During open-ended consultations on Wednesday, 13 November, parties were invited to focus on a workstream 2 outcome and concrete actions to raise ambition. The Secretariat presented a technical paper on mitigation benefits of actions, initiatives and options to enhance ambition (FCCC/TP/2013/8 and Add.1&2).

Nauru, for AOSIS, proposed a process focused on renewable energy and energy efficiency involving submissions, technical papers and expert workshops. Nepal, for the LDCs, called for implementation of pledges, expanding their scope and tightening the rules, and stressed means of implementation as essential to workstream 2.

Malaysia, for the G-77/China, said enhanced Annex I commitments should be the first step and called for, *inter alia*, ratifying the Doha Amendment, and establishing a mechanism matching mitigation and adaptation proposals with finance and technology. China called for: an outcome that recognizes elements beyond mitigation; and work programmes on the adequacy of financial support and IPRs.

The EU suggested: further technical work to draw on the experience of other bodies and further workshops; opportunities for ministers to show leadership; and promoting the UNFCCC's catalytic role.

On hydrofluorocarbons (HFCs), India and Saudi Arabia underlined they "belong" under the UNFCCC. The EU emphasized shared responsibility with the Montreal Protocol. China said the UNFCCC principles should apply to the phase-out of HFCs. Mexico underscored the health co-benefits of addressing short-lived climate pollutants.

Colombia, for AILAC, noted the need for emissions to peak in 2015, calling for, *inter alia*, increased ambition on REDD+ and a ministerial session in June 2014.

Ecuador stressed that progressing to close the pre-2020 ambition gap is a starting point for moving forward under workstream 1.

Venezuela, for LMDCs, supported by Kuwait and Algeria, called for, *inter alia*: clarity on finance and support for identifying developing countries' needs; addressing economic and social consequences from the implementation of response measures; and rapid capitalization and operationalization of the GCF.

South Africa, the Federated States of Micronesia and Bolivia underlined the mitigation, implementation, finance and technology gap. Cameroon, for the Central African Forest Commission (COMIFAC), highlighted the role of reducing, halting and reversing deforestation in closing the mitigation

gap. South Africa stressed the need for increased means of implementation for non-Annex I countries. Mali called for building on the US\$100 billion goal, with South Africa proposing a portal to match funding with required support.

The US, supported by Canada and Australia, called for harnessing the mitigation potential of sub-national actors. China said these local efforts fall under national action.

**Workshop on Lessons Learned from Relevant Experience of Other Multilateral Environmental Agreements:** This workshop took place on Wednesday, 13 November. Delegates were invited to identify concrete arrangements to enhance pre-2020 ambition under workstream 2. Parties addressed:

- enabling parties to opt out of new obligations;
- relationship between UNEP and the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) Secretariat;
- application of the precautionary principle under the Montreal Protocol;
- differentiation between developed and developing countries' obligations;
- addressing GHGs under the Montreal Protocol;
- provisions concerning participation, especially of non-parties; and
- the impact of obligations on non-parties.

For a complete summary of the workshop, see: <http://www.iisd.ca/vol12/enb12586e.html>

**Workshop on Urbanization and the Role of Governments in Facilitating Climate Action in Cities:** This workshop took place on Thursday, 14 November. Delegates were invited to chart concrete options for the ADP's work. Participants addressed: successful policies promoting energy efficiency and renewable energy in transport and buildings; the financing gap in infrastructure needs of developing countries; and the role of non-state actors in the ADP process. For a complete summary of the workshop, see: <http://www.iisd.ca/vol12/enb12587e.html>

**IMPLEMENTATION OF ALL THE ELEMENTS UNDER BOTH WORKSTREAMS:** During the second week, the ADP's work continued, based on the Co-Chairs' draft decision and conclusions, in open-ended informal consultations on implementation of all the elements of Decision 1/CP.17, in a Co-Chairs' special event, and during a high-level ministerial dialogue.

**ADP Co-Chairs' Special Event:** Participants at the ADP Co-Chairs' special event on Tuesday, 19 November, focused on: how the 2015 agreement could foster enhanced collaboration between non-state actors and governments; and the role the UNFCCC could play in recognizing and strengthening non-state actors' initiatives and actions. For more details, see: <http://www.iisd.ca/vol12/enb12591e.html>

**High-level Ministerial Dialogue on the Durban Platform for Enhanced Action:** On Thursday, 21 November, COP 19 President Korolec invited Ministers and other heads of delegations to discuss their views on pre-2020 actions for transitioning to a post-2020 world; and elements required for a successful, meaningful, durable 2015 agreement. For more details, see: <http://www.iisd.ca/vol12/enb12593e.html>

**Negotiations on progress on the implementation of all elements under both workstreams:** On Monday, 18 November, the ADP Co-Chairs presented draft text on the implementation of all the elements of Decision 1/CP.17, consisting of: draft Co-Chairs' conclusions; and a draft decision on pre-2020 ambition and post-2020 action, including an annex with indicative elements of the 2015 agreement. Parties discussed several revised versions throughout the week. The closing ADP plenary, which was originally scheduled for Thursday afternoon, was continually postponed as negotiations continued in the open-ended consultations, as well as informally all day and night on Friday, and on Saturday morning.

Areas of disagreement included: incorporating "indicative elements of the 2015 agreement" or a "non-exhaustive list of areas for further reflection" as an annex to the decision or conclusions, respectively, which were rejected by many for lack of negotiation time; and the issue of "nature and extent of differentiation." Discussions were polarized between various developing countries, which stressed continued application of the principles, provisions and annex-based differentiation arrangement under the Convention; and developed countries, which emphasized the need to continue but also update the application of the CBDR principle to reflect evolving circumstances. In addition, delegates differed on, *inter alia*: a clear roadmap for finance and technology transfer; loss and damage; MRV for support; a timeline to submit intended nationally determined commitments, and accompanying information for assessment against adequacy and fairness; a compliance mechanism; accounting rules; and IPRs.

India expressed concern that the text "presumes" that in the 2015 agreement each party will have commitments on mitigation, adaptation, finance, technology development and transfer, and capacity-building.

China emphasized the need to enhance implementation up to 2020 and the Bali Action Plan (BAP). The LDCs called for reference to the principles of equity and fairness, and confidence building through full implementation of the BAP.

On a roadmap for finance, the US stressed that the US\$100 billion target was made in the context of a wide package of decisions and that new commitments "cannot be made along the way." The LMDCs opposed proposals related to harnessing private investment for mitigation.

On increasing ambition, the EU called for a workplan with deadlines, up-front transparency and an assessment phase under workstream 1, and concrete actions under workstream 2. He also stressed inclusion of the 2°C goal. India underscored the need to: increase developed countries' mitigation ambition to at least 40% below 1990 levels; enhance technology transfer; and address IPRs. Australia, Japan and Canada opposed reference to IPRs.

Singapore said collaborative work at the sub-national level should be in the context of sharing and learning. The US, Japan and Canada supported facilitating collaborative work on mitigation and adaptation at the sub-national level. The LMDCs cautioned against referring to actions outside the Convention.

**CLOSING PLENARY:** ADP Co-Chair Kumarsingh opened the closing ADP plenary Saturday afternoon, 23 November at 12:12 pm, two days later than originally scheduled. Reflecting on

inclusive, transparent, interactive and candid ADP consultations, he invited parties to consider for adoption draft conclusions containing a non-exhaustive list of areas for further reflection, and a draft decision on further advancing the Durban Platform (FCCC/ADP/2013/L.4 & Add.1). He stressed the text as party driven and sensitive to a diversity of views, noting that it does not prejudice the content for the 2015 agreement.

India, for Brazil, South Africa, India and China (BASIC), supported by China, Saudi Arabia, and Singapore, lamented that the text lacks urgency, ambition and a clear roadmap on finance. He stressed balance in the decision requires that a reference to “all parties” with the term “commitments” requires adding the context “in accordance with the provisions of the Convention.” He opposed the annex in the conclusions for lack of proper discussion of its listed areas.

Stressing differentiation should remain valid and calling for referring to “enhanced actions” when speaking of developing countries and “commitments” when referring to developed countries, China, with the Philippines, called for a reference to Article 4 of the Convention (differentiation of commitments). He stressed that the purpose of the ADP is not to create a new climate regime, but to enhance the full and effective implementation of the Convention, requiring means of implementation and transparency of actions and support. He described the annex as “unbalanced, very selective and misleading.”

Singapore suggested moving the annex into a Co-Chairs’ reflection note and stressed that past commitments have not been fulfilled. The US, with the EU, supported the draft decision and conclusions with the annex, and opposed a reference to Article 4 of the Convention, noting diverging views on how differentiation should be captured in the new agreement.

Noting it “has been a very long week and night” and that it “is becoming a long day,” Fiji, for the G-77/China, thanked all parties for their involvement in discussions on the ADP in 2013 and expressed desire to see agreement in 2015. Nauru, for AOSIS, said the decision provides an opportunity to unlock mitigation potential to limit global warming below 1.5°C, and stressed parties should “go home, do their homework, and bring options for decisive action” at key events next year. The Gambia, for the LDCs, emphasized that it views the text in the “spirit of compromise” and had not raised issues “dear” to the Group despite concerns on: adequacy, science and NAPAs; lack of reflection of different capabilities; and insufficient reference to finance and implementation.

Expressing preparedness to accept the text, Colombia, for AILAC, called for acting within the framework of respective capacities and taking into account priorities of all parties. She said success in Lima and Paris requires more balanced discussions and thinking about “how we are working.”

Bolivia noted it had originally proposed adding reference to Article 4 of the Convention (commitments), and stressed that text referring to commitments from developing countries by 2015 implies a challenge that can only be met through compliance with Article 4 of the Convention, including clarity on provision of finance.

Proposing submitting the text for adoption to the COP, the Russian Federation said other COP/CMP decisions should not be held “hostage” because of the lack of agreement on the ADP draft text.

Noting physical strain from lack of sleep and the urgency to reach agreement, Venezuela, Swaziland, for the African Group, and Switzerland asked the ADP Co-Chairs to inform delegates of the timeline of the meeting.

Co-Chair Kumarsingh suspended the ADP closing plenary at 2:16 pm for parties to seek an agreement and resumed the closing plenary at 3:40 pm. India read out the proposed amendments resulting from “the informal huddle.” In the draft decision, the proposal was to replace the term “commitments” with “contributions, without prejudice to the legal nature of the contributions,” and substituting the wording “parties in a position to do so” with “parties ready to do so.” In the draft conclusions, the proposal was to delete the non-exhaustive list of areas for further reflection contained in the annex, as well as reference to the annex contained in the draft conclusions. Prior to the ADP’s adoption of the conclusions and draft decision on further advancing the Durban Platform (FCCC/ADP/2013/L.4 & Add.1), as orally amended, Bolivia and Cuba stated their understanding that the amended paragraph in the decision should be applied in strict conformity to Article 4 and, in particular Article 4.7, of the Convention.

The ADP adopted its report (FCCC/ADP/2013/L.3). Co-Chair Kumarsingh acknowledged delegates’ diligent work to arrive at a substantive outcome, and Co-Chair Runge-Metzger, also referring to delegates, said “what would we be without them – and what would they be without us?” Co-Chair Kumarsingh suspended ADP 2-3 at 4:08 pm. The COP later adopted the ADP conclusions and decision, and took note of the ADP report.

**Final Outcome:** In its conclusions (FCCC/ADP/2013/L.4), the ADP invites parties and admitted observer organizations to submit information on opportunities for actions with high mitigation potential, including their mitigation benefits, costs, co-benefits and barriers to their implementation, and strategies to overcome those barriers, including finance, technology and capacity-building support for mitigation action in developing countries. The ADP also requests the Secretariat to, *inter alia*:

- organize in-session workshops;
- enhance the visibility on the UNFCCC website of quantified economy-wide emission reduction targets, quantified emission limitation and reduction commitments and nationally appropriate mitigation actions, as well as of actions with high mitigation potential, including actions of public and private entities with adaptation and sustainable development co-benefits;
- organize technical expert meetings in 2014 to share policies, practices and technologies and address the necessary finance, technology and capacity-building, with a special focus on actions with high mitigation potential with the participation of parties, civil society, the private sector and cities and other subnational authorities;
- prepare regular updates on actions with high mitigation potential; and

- convene a forum to share experiences and best practices of cities and subnational authorities in relation to adaptation and mitigation.  
In its decision (FCCC/ADP/2013/L.4/Add.1), the COP:
- warns that climate change represents an urgent and potentially irreversible threat to human societies, future generations and the planet;
- underlines the significant gap between the aggregate effect of parties' mitigation pledges and aggregate emission pathways consistent with having a likely chance of holding the increase in global average temperature below 2°C or 1.5°C above pre-industrial levels;
- affirms that fulfilling the ultimate objective of the Convention will require strengthening the multilateral, rules-based regime and the urgent and sustained implementation of existing commitments under the Convention;
- urges all parties to the Kyoto Protocol to ratify and implement the Doha Amendment;
- emphasizes that enhanced action and international cooperation on adaptation are urgently required to enable and support the implementation of adaptation actions aimed at reducing vulnerability and building resilience in developing countries;
- requests the ADP to further elaborate elements for a draft negotiating text, taking into consideration its work, including, *inter alia*, on mitigation, adaptation, finance, technology development and transfer, capacity-building, and transparency of action and support;
- invites all parties to initiate or intensify domestic preparations for their intended nationally determined contributions, without prejudice to the legal nature of the contributions, in the context of adopting a protocol, another legal instrument or an agreed outcome with legal force under the Convention applicable to all parties towards achieving the objective of the Convention and to communicate them well in advance of COP 21 (by the first quarter of 2015 by those parties ready to do so), without prejudging the legal nature of the contributions;
- requests the ADP to identify, by COP 20, the information that parties will provide when putting forward their contributions, without prejudice to the legal nature of the contributions;
- urges and requests developed country parties, the operating entities of the financial mechanism and any other organizations in a position to do so to provide support for the related activities as early as possible in 2014;
- resolves to accelerate the full implementation of the BAP, in particular in relation to the provision of means of implementation, recognizing that such implementation will enhance ambition in the pre-2020 period;
- resolves to enhance ambition in the pre-2020 period in order to ensure the highest possible mitigation efforts under the Convention by all parties; and
- decides to accelerate activities under the workplan on enhancing mitigation ambition.

#### SUBSIDIARY BODY FOR IMPLEMENTATION

SBI 39 opened on Monday, 11 November, with Tomasz Chruszczow (Poland) continuing as the SBI Chair. The SBI closing plenary, originally scheduled to take place on Saturday, 16 November, opened and adopted conclusions early on

Sunday morning, 17 November. As some SBI agenda items remained unresolved on Sunday morning without a quorum, the SBI closing plenary was suspended and resumed on Monday morning, 18 November. This section summarizes COP/CMP negotiations and outcomes on issues referred to the SBI.

**ORGANIZATIONAL MATTERS:** On 11 November, parties adopted the agenda (FCCC/SBI/2013/11) with the item on information in non-Annex I national communications held in abeyance.

#### ANNEX I NATIONAL COMMUNICATIONS AND GHG INVENTORY DATA: Sixth national communications:

This issue was taken up by the SBI on 11 November, and subsequently in informal consultations facilitated by Fatuma Mohamed Hussein (Kenya) and Kiyoto Tanabe (Japan). The SBI adopted conclusions and two draft COP/CMP decisions (FCCC/SBI/2013/L.7 & Add.1 & 2) on Annex I countries' national communications. On Friday, 22 November, the COP and the CMP plenaries adopted their respective decisions.

**Final Outcome:** In its decision (FCCC/SBI/2013/L.7/Add.1), the COP, *inter alia*:

- emphasizes that the national communications and annual GHG inventories are the main source of information for reviewing the implementation of the Convention by Annex I parties;
- recalls a COP 17 request to the Secretariat to prepare a compilation and synthesis report on developed country parties' biennial reports for consideration by COP 20 and subsequent sessions;
- recalls that the due date of the first biennial reports and the sixth national communications from developed country parties is 1 January 2014; and
- requests the Secretariat to prepare a compilation and synthesis report on the communications for COP 20.

In its decision, (FCCC/SBI/2013/L.7/Add.2), the CMP, *inter alia*:

- emphasizes the communications and data as the main source of information for reviewing the implementation of the Convention and its Kyoto Protocol by Annex I parties that are also parties to the Protocol;
- recalls a COP 17 request to the Secretariat to prepare a compilation and synthesis report on developed country parties' biennial reports for consideration by COP 20 and subsequent sessions;
- requests the Secretariat to prepare a compilation and synthesis report on the supplementary information in the sixth national communications for CMP 10; and
- requests the Secretariat to organize centralized reviews of sixth national communications for parties with total GHG emissions of less than 50 million tons of CO<sub>2</sub> equivalent, with the exception of Annex II parties.

**Report on national GHG inventory data from Annex I Parties for the period 1990-2011:** This issue was addressed in plenary on 11 November. SBI took note of the report (FCCC/SBI/2013/19).

**Annex B parties' annual compilation and accounting report:** This issue (FCCC/KP/CMP/2013/6 and Add.1) was briefly considered by the SBI in plenary on 11 November.



**Final Outcome:** The SBI adopted its conclusions (FCCC/SBI/2013/L.3). On Friday, 22 November, the CMP took note of the report.

#### NON-ANNEX I NATIONAL COMMUNICATIONS:

**Consultative Group of Experts (CGE):** This issue (FCCC/SBI/2013/7, 17 and 18) was first taken up in plenary on 11 November, and subsequently in informal consultations co-facilitated by Fatuma Mohamed Hussein (Kenya) and Kiyoto Tanabe (Japan). In plenary early on Sunday morning, 17 November, SBI Chair Chruszczow reported that the composition of the CGE had been agreed.

On Friday, 22 November, the COP plenary adopted conclusions and a decision and took note of the nominations to the CGE.

**Final Outcome:** In its conclusions (FCCC/SBI/2013/L.24 & Add.2), the SBI notes, *inter alia*: the recommendation to develop a long-term work programme to efficiently respond to the needs for technical assistance of non-Annex I parties for meeting their reporting requirements; that the CGE's training materials should be periodically updated; invites a representative of non-Annex I parties to participate in the work of the CGE in an observer capacity, pending the consideration at COP 20 of the specific matter of the membership of such parties on the CGE.

In its decision (FCCC/SBI/2013/L.24/Add.1), the COP:

- decides to continue the CGE for a period of five years from 2014-2018;
- decides that the CGE shall function in accordance with the revised terms of reference contained in the annex to the decision and that the CGE membership shall be the same as set out in decision 3/CP.8, annex, paragraphs 3-8;
- decides that the CGE shall be composed of experts drawn from the UNFCCC roster of experts with expertise in at least one of the sections of national communications or biennial update reports; and
- requests the Secretariat, subject to available financial resources, to facilitate the work of the CGE by organizing CGE meetings and workshops, and providing technical support to the CGE and liaising with other relevant multilateral programmes and organizations for additional financial and technical support.

**Financial and technical support:** This issue (FCCC/SBI/2013/INF.7&8 and FCCC/CP/2013/3/Add.2) was first taken up by the SBI on 11 November in plenary, and subsequently considered in informal consultations co-facilitated by Fatuma Mohamed Hussein and Kiyoto Tanabe.

**Final Outcome:** In its conclusions (FCCC/SBI/2012/L.5), the SBI *inter alia*:

- invites the GEF to continue providing information on its activities relating to the preparation of the preparation of biennial update reports (BURs) as well as of national communications by non-Annex I parties, including dates of the approval of funding and the disbursement of funds;
- encourages the GEF to make support available to non-Annex I parties for preparing their subsequent BURs in a timely manner;
- notes progress made by the GEF in the finalization of its Global Support Programme; and

- welcomes the release by the Secretariat of an upgraded version of the national GHG inventory software for non-Annex I parties.

#### NAMAS BY DEVELOPING COUNTRIES: Team of technical experts under international consultations and analysis:

This item was first taken up briefly in plenary by the SBI on 11 November, and subsequently in informal consultations co-facilitated by Ann Gann (Singapore) and Helmut Hojesky (Austria). In plenary on 18 November, the SBI adopted conclusions containing a draft COP decision. In plenary on Friday, 22 November, the COP adopted the decision.

**Final Outcome:** In its decision (FCCC/SBI/2013/L.23) the COP, *inter alia*:

- notes that international consultation and analysis is non-intrusive, non-punitive and respectful of national sovereignty;
- recognizes the need to have an efficient, cost-effective and practical international consultation and analysis process; and to build capacity and provide financial support in a timely manner to non-Annex I parties to facilitate the timely preparation of their biennial update reports;
- adopts the composition, modalities and procedures of the team of technical experts contained in the annex; and
- requests the Secretariat to maintain and update the UNFCCC roster of experts, and the CGE to develop and organize appropriate training programmes for nominated technical experts.

#### Work programme to further the understanding of

**the diversity of NAMAs:** This issue (FCCC/SBI/2013/INF.12/Rev.2) was taken up by the SBI on 11 November, and subsequently in informal consultations facilitated by Ann Gann and Helmut Hojesky. The SBI adopted conclusions. On 22 November, the COP took note of the conclusions.

**Final Outcome:** In its conclusions (FCCC/SBI/2013/L.8), the SBI, *inter alia*: takes note of the compilation on NAMAs and information on the in-session workshop on the diversity of NAMAs; invites Annex II countries to scale up support for the preparation and implementation of NAMAs; and requests the Secretariat to organize technical discussions, including workshops, in 2014, and report on the extent of matching of actions and support under the registry to SBI 40 and 41.

#### COORDINATION OF SUPPORT FOR THE IMPLEMENTATION OF ACTIVITIES IN RELATION TO MITIGATION ACTIONS IN THE FOREST SECTOR BY DEVELOPING COUNTRIES, INCLUDING INSTITUTIONAL ARRANGEMENTS:

This issue (FCCC/SBI/2013/INF.6, FCCC/SB/2013/MISC.3 and Add.1) was first addressed in the SBI and SBSTA plenaries on 11 November, and subsequently by a contact group co-chaired by Madeleine Diouf (Senegal) and Keith Anderson (Switzerland).

During the SBSTA and SBI closing plenaries, SBSTA Chair Richard Muyungi (Tanzania) and SBI Chair Chruszczow reported that no agreement had been reached on this agenda item, and that draft SBI and SBSTA conclusions (FCCC/SBI/2013/L.5) had been prepared, including elements of a draft COP decision. Consultations on this item continued during the second week under the authority of the COP/CMP President. On Friday, 22 November, SBSTA Chair Muyungi and SBI Chair

Chruszczow informed delegates that a new draft decision text had been agreed upon. The COP adopted the decision.

**Final Outcome:** In its decision (FCCC/CP/2013/L.6), the COP, *inter alia*:

- invites interested parties to designate a national entity or focal point; and
- encourages national entities or focal points, parties and relevant entities financing REDD+ activities to meet on a voluntary basis, in conjunction with the first sessional period meetings of the subsidiary bodies (SBs), starting with the second sessional period meetings of the SBs in 2014.

#### MATTERS RELATING TO THE PROTOCOL'S

#### MECHANISMS: Review of Clean Development Mechanism

**(CDM) modalities and procedures:** This item (FCCC/SBI/2013/MISC.1 & Add.1; and FCCC/SBI/2013/INF.1 & INF.6) was taken up briefly in plenary on 11 November, and subsequently in informal consultations co-facilitated by Giza Martins (Angola) and Marko Berglund (Finland). In plenary on Saturday, 16 November, the SBI adopted conclusions and elements of a CMP decision in an annex. On 22 November, the CMP adopted the decision.

**Final Outcome:** In its conclusions (FCCC/SBI/2013/L.9), the SBI, *inter alia*, identifies a consolidated but non-exhaustive list of suggested changes to the modalities and procedures for the CDM and the need to continue work on this matter at SBI 40.

In its decision (FCCC/KP/CMP/2013/L.8), the CMP invites submissions from parties and admitted observer organizations to the Secretariat by 30 April 2014, and requests the Secretariat, subject to available funding, to prepare a technical paper by 19 March 2014, on the:

- membership and composition of the Executive Board of the CDM;
- liability of designated operational entities to compensate for the issuance of certified emission reductions (CERs) resulting from significant deficiencies in validation, verification and certification reports;
- provisions for programmes of activities;
- length of the crediting period;
- requirements for the demonstration of additionality;
- role of designated national authorities of Annex I and non-Annex I parties; and
- simplification and streamlining of the project cycle for certain project categories.

**Review of the joint implementation (JI) guidelines:** This item (FCCC/SBI/2013/MISC.3 & Add.1; and FCCC/SBI/2013/INF.3) was first taken up briefly by the SBI in plenary on 11 November, and subsequently in informal consultations co-facilitated by Yaw Osafo (Ghana) and Dimitar Nikov (France). In plenary on Saturday, 16 November, the SBI adopted conclusions. On 22 November, the CMP took note of the conclusions.

**Final Outcome:** In its conclusions (FCCC/SBI/2013/L.11), the SBI, *inter alia*, takes note of the relevant views submitted by parties and admitted observer organizations, as well as document FCCC/SBI/2013/INF.3; and agrees to continue consideration of this agenda sub-item at SBI 40.

**Modalities for expediting the continued issuance, transfer and acquisition of JI emission reduction units:** This item was first taken up briefly by the SBI in plenary on 11 November, and subsequently in informal consultations co-facilitated by Yaw Osafo and Dimitar Nikov. On Saturday, 16 November, the SBI adopted conclusions.

**Final Outcome:** In its conclusions (FCCC/SBI/2013/L.12), the SBI agreed to continue consideration of this agenda sub-item, on the basis of the draft text proposed by the Co-Chairs of the relevant informal consultations, at SBI 40.

**Modalities for expediting the establishment of eligibility of Annex I parties with commitments during the second commitment period:** This issue was taken up by the SBI opening plenary on 11 November, and subsequently in informal consultations facilitated by Yaw Osafo and Dimitar Nikov. On Sunday, 17 November, the SBI adopted conclusions recommending the adoption of a CMP decision (FCCC/SBI/2013/L.14). On Friday, 22 November, the CMP adopted the decision.

**Final Outcome:** In its decision (FCCC/SBI/2013/L.14/Add.1), the CMP, decides, *inter alia*:

- to create a process for the second commitment of the Kyoto Protocol to expedite the establishment of the eligibility of Annex I parties with commitments inscribed in the third column of Annex B in the Doha Amendment, under certain criteria;
- these parties may submit a report on the establishment of its national registry by 30 June 2015;
- for these parties who have submitted this report, a review will be initiated by an expert review team;
- the report of this review shall be forwarded to the Compliance Committee; and
- of these parties, those whose report has been reviewed shall be eligible to acquire CERs issued for emission reductions occurring after 31 December 2012 four months from the date of the submission of the report.

**Procedures, mechanisms and institutional arrangements for appeals against decisions of the Executive Board of the CDM:** This issue was taken up by the SBI on 11 November. The SBI agreed to defer further consideration of this sub-item to SBI 40.

**Report of the administrator of the international transaction log under the Kyoto Protocol:** The SBI took up this issue on 11 November. The SBI took note of the report (FCCC/SBI/2013/INF.16), and agreed to continue consideration of matters referred to in paragraphs 58(b) and (c) of the 2012 Report at SBI 40.

**ADAPTATION COMMITTEE'S REPORT:** This issue was first considered jointly by the SBI and SBSTA in plenary on 11 November (FCCC/SB/2013/2), and subsequently in informal consultations facilitated by Helen Plume (New Zealand). In informal consultations on Friday, 15 November, parties considered the Chair's revised draft COP decision text. Discussions focused on: changes in the rules of procedure; shortfall in resources; and encouraging parties to make available sufficient resources for the successful and timely implementation of the Committee's three-year workplan. One party stressed





the need to strengthen the Adaptation Committee in order for the Cancun Adaptation Framework to have a solid foundation. On Sunday, 17 November, the SBI and SBSTA adopted a draft COP decision. On Friday, 22 November, the COP adopted the decision.

**Final Outcome:** In its decision (FCCC/SB/2013/L.2), the COP, *inter alia*:

- notes with concern the shortfall in resources referred to in the Committee's report;
- notes progress made by the Committee in the implementation of its three-year workplan;
- encourages the Committee to continue supporting NAPs;
- requests the Committee to consider further focusing its 2014 thematic report and organize a special event during SB 40;
- decides to replace the positions of Chair and Vice-Chair of the Committee by those of Co-Chairs;
- expresses its appreciation for financial and in-kind contributions in support of the work of the Committee; and
- reiterates its encouragement to parties to make available sufficient resources for implementation of the Committee's three-year workplan.

**Least Developed Countries (LDCs):** This item (FCCC/SBI/2013/8, 15 and 16) was first taken up by the SBI on 11 November, and subsequently in informal consultations facilitated by Collin Beck (Solomon Islands). In plenary on Saturday, 16 November, the SBI adopted conclusions.

**Final Outcome:** In its conclusions (FCCC/SBI/2013/L.2), the SBI, *inter alia*:

- acknowledges the progress made by the Least Developed Countries Expert Group (LEG);
- welcomes the technical guidelines for the NAP process, the work on gender and other considerations regarding vulnerable communities within the LDCs, the work on promoting regional synergy and synergy among multilateral environmental agreements in addressing adaptation in the LDCs, and the mobilization of organizations, regional centers and networks, and experts;
- notes NAPAs by all 50 LDC parties that embarked on NAPA preparation; and
- welcomes the LEG's engagement with the Adaptation Committee and other relevant bodies under the Convention.

**National Adaptation Plans (NAPs):** This issue (FCCC/SBI/2013/8, 9, 15 and MISC.2 & Add.1; FCCC/CP/2013/3) was taken up by the SBI on 11 November, and subsequently in informal consultations facilitated by Frank McGovern (Ireland) and Amjad Abdulla (Maldives). In informal consultations, on Thursday, 14 November, many parties supported working on the basis of the Co-Chairs' draft conclusions. Several developing countries supported also having a COP decision to highlight the importance of NAPs to the broader adaptation and development communities. Some developed countries expressed support for a COP 19 decision on the importance of NAPs, while others preferred a more substantive COP decision at a later stage. In informal consultations on Friday, 15 November, parties considered a draft COP decision. Discussions focused on text regarding parties and relevant organizations submitting

information on their experience with the initial guidelines for the NAPs process.

On Sunday, 17 November, the SBI adopted conclusions and a draft COP decision. On Friday, 22 November, the COP adopted the decision.

**Final Outcome:** In its conclusions (FCCC/SBI/2013/L.10), the SBI, *inter alia*: welcomes the technical guidelines for the NAP process, the NAP expo held in June 2013, progress made by the GEF in responding to guidance from the COP, and establishment of the NAP global support programme for the LDCs; notes that the LDCs can start to access resources from the Least Developed Countries Fund and developing countries from the Special Climate Change Fund; requests the LEG to continue providing technical guidance to the LDCs on the NAP process; and invites the task force on NAPs under the Adaptation Committee to report on its work to SBI and SBSTA 41.

In its decision (FCCC/SBI/2013/L.10/Add.1), the COP, *inter alia*:

- recalls that planning for adaptation should be based on nationally-identified priorities;
- welcomes the technical guidelines for the NAP process and the establishment of the NAP global support programme for the LDCs;
- invites developed country parties, UN organizations, specialized agencies and others to enhance financial and technical support to the NAP process;
- invites UN organizations, specialized agencies and others to consider establishing or enhancing support programmes for the NAP process and to submit to the Secretariat, by 26 March 2014, information on how they have responded to this invitation;
- invites parties and relevant organizations to submit, by 26 March 2014, information on their experience with the application of the initial guidelines of the NAPs for compilation into a document for SBI 40; and
- decides to continue to take stock of and, if necessary, revise the initial guidelines of the NAPs at COP 20.

**LOSS AND DAMAGE:** This issue (FCCC/SBI/2013/INF.14, FCCC/SBI/2013/CRP.1 and FCCC/TP/2013/2 & 12) was first taken up by the SBI on 11 November. A contact group and informal consultations were facilitated by Anna Lindstedt (Sweden) and Robert Van Lierop (St. Kitts and Nevis). The issue proved controversial and was forwarded for ministerial consultations facilitated by Bomo Edna Molewa (South Africa) and Lena Ek (Sweden) on 19 November. They relayed that consensus had to be reached on the organization of aspects of institutional arrangements and supporting their operationalization. Several developed countries stated that loss and damage is part of the mitigation and adaptation continuum, whereas developing countries identified loss and damage as a separate issue, distinct from adaptation. The closing plenary on Saturday, 23 November, was adjourned to allow further informal consultations on the draft decision. Following this "huddle," developing countries introduced, and parties accepted, textual amendments relating to, *inter alia*, the review of the international mechanism. The COP decision was adopted as orally amended on 23 November.

**Final Outcome:** In its decision (FCCC/CP/2013/L.15), the COP, *inter alia*:

- establishes the Warsaw international mechanism for loss and damage under the Cancun Adaptation Framework, subject to review by COP 22, including on “its structure, mandate and effectiveness,” to address loss and damage associated with extreme weather and slow onset events in developing countries that are particularly vulnerable to the adverse effects of climate change;
- establishes an executive committee of the Warsaw international mechanism, which shall function, and be accountable to, the COP;
- requests the executive committee to report annually to the COP through the SBs;
- the Warsaw international mechanism is tasked to, *inter alia*: enhancing knowledge and understanding of comprehensive risk management approaches; strengthening dialogue, coordination, coherence and synergies among relevant stakeholders; and enhancing action and support, including finance, technology and capacity-building;
- decides that, in exercising its functions, the international mechanism will, *inter alia*: facilitate support of actions to address loss and damage; improve coordination of the relevant work under existing Convention bodies; convene meetings of relevant experts and stakeholders; promote the development of, and compile, analyze, synthesize and review information; provide technical guidance and support; and make recommendations on how to enhance engagement, actions and coherence under and outside the Convention;
- invites the Secretariat, in consultation with the COP President, to convene the initial meeting of the executive committee by March 2014, which will be open to observers;
- requests the executive committee to develop its initial two-year workplan for the implementation of the mechanism’s functions, including scheduling of meetings, for consideration by SB 41;
- requests the SBs to consider the composition of, and procedures for, the executive committee, and make recommendations for adoption by COP 20, with a view to finalizing its organization and governance;
- requests developed countries to provide developing countries with finance, technology and capacity-building in accordance with decision 1/CP.16 and other relevant decisions; and
- decides to review the Warsaw international mechanism, including its structure, mandate and effectiveness, at COP 22.

**MATTERS RELATING TO FINANCE: Adaptation Fund:**

The issue (FCCC/KP/CMP/2013/2 and FCCC/SBI/2013/INF.2) was referred by the CMP to the SBI, which took it up on 11 November (FCCC/TP/2013/1). It was subsequently considered in informal consultations facilitated by Suzanty Sitorus (Indonesia) and Ana Fornells de Frutos (Spain).

In its closing plenary on Sunday, 17 November, the SBI adopted conclusions (FCCC/SBI/2013/L.6 & Add.1), which include a draft CMP decision. Consultations on the issue continued under the CMP, in a contact group.

**Final Outcome:** In its decision (FCCC/KP/CMP/2013/L.7), the CMP, *inter alia*:

- decides the second review of the Adaptation Fund will be undertaken in accordance with the terms of reference contained in the annex to the decision;
- requests the Adaptation Fund Board (AFB) to make available in its report to CMP 10 information on the financial status of the Adaptation Fund, with a view to finalizing the review at the same session;
- invites views from parties and observer organizations, among others, on the review, by March 2014;
- requests SBI 40 to consider the review with a view to recommending a draft decision for CMP 10; and
- requests a technical paper from the Secretariat and the AFB, based on the terms of reference and taking into account the deliberations and conclusions of SBI 40, for SBI 41.

**Other Matters:** The SBI took up this issue on 11 November, and took note of a periodic update by the SCF on its work relating to the fifth review of the financial mechanism (FCCC/CP/2013/8).

**TECHNOLOGY: Joint annual report of the Technology Executive Committee (TEC) and the Climate Technology Centre and Network (CTCN):** This issue (FCCC/SB/2013/1) was taken up jointly by the SBI and SBSTA on 11 November, and subsequently in informal consultations facilitated by Majid Al Suwaidi (United Arab Emirates) and Stig Svenningsen (Norway). Parties did not reach consensus in informal discussions.

During the SBI closing plenary on Monday, 18 November, Australia, for Canada, the US, New Zealand and Japan, called for reflecting in the report that no consensus had been reached, and that this item should be considered at SBI 40. Bangladesh cautioned against forwarding this item to SBI 40, and, with Cuba, called on parties to devote time to concluding the issue in Warsaw.

On 18 November, the SBI Chair informed the COP/CMP President the SBI was unable to reach agreement on its consideration of the report. In the COP plenary on Friday, 22 November, President Korolec reported that no agreement had been reached on this item. He proposed, and parties agreed, that SBSTA and SBI will continue discussions on this issue at their 40th session with a view to forwarding a draft decision to COP 20.

**Final Outcome:** The SBI and SBSTA will consider this issue at SBI and SBSTA 40.

**Modalities and procedures of the CTCN and its Advisory Board:** This issue (FCCC/SB/2013/INF.7) was jointly considered by the SBI and SBSTA on 11 November, and subsequently in informal consultations facilitated by Carlos Fuller (Belize) and Kunihiko Shimada (Japan). The SBI and SBSTA adopted conclusions (FCCC/SB/2013/L.3), noting the work of the CTCN in finalizing in a timely manner the modalities and procedures of the CTCN for consideration by COP 19 and forwarded a COP decision (FCCC/SB/2013/L.3/Add.1), which the COP adopted on Friday, 22 November.

**Final Outcome:** In its decision (FCCC/SB/2013/L.3/Add.1), the COP:

- welcomes the report on modalities and procedures of the CTCN;

- adopts the modalities and procedures of the CTCN, contained in Annex I of the decision;
- adopts the rules of procedure of the CTCN's Advisory Board contained in Annex II of the decision;
- requests the CTCN to work in conjunction with the TEC to ensure coherence and synergy within the Technology Mechanism; and
- requests the CTCN Advisory Board and the Climate Technology Centre to engage with institutions from developing and developed country parties to become part of the Network.

#### **Poznan strategic programme on technology transfer:**

This agenda item (FCCC/CP/2013/3 and Add.1) was first taken up in plenary on 11 November, and subsequently in informal consultations facilitated by Carlos Fuller and Kunihiko Shimada.

**Final Outcome:** In its conclusions (FCCC/SBI/2013/L.4), the SBI:

- notes the report of the GEF on the progress made in carrying out the Poznan strategic programme on technology transfer;
- acknowledges the GEF's support to assist 36 non-Annex I parties to the Convention in conducting their technology needs assessments and its future support on this matter;
- notes the GEF report on its consultations with the CTCN, through its Advisory Board, and invites further consultations on future GEF support to the CTCN and to report at SBI 40; and
- reiterates the need to align the further implementation of the Poznan strategic programme on support for climate technology centers and a climate technology network with the operationalization and activities of the CTCN.

#### **CAPACITY-BUILDING: Capacity-building under the**

**Convention:** This issue (FCCC/SBI/2013/12; FCCC/SBI/2013/2 and Add.1, FCCC/SBI/2013/3, FCCC/SBI/2013/MISC.4, and FCCC/SBI/2012/20) was first addressed on 11 November, and subsequently in informal consultations facilitated by Amanda Katili Niode (Indonesia). The SBI adopted conclusions.

**Final Outcome:** In its conclusions (FCCC/SBI/2013/L.19), the SBI agrees to continue consideration of this issue at SBSTA 40, with a view to the adoption of a decision at COP 20.

**Capacity-building under the Protocol:** This issue was first addressed on 11 November, and subsequently in informal consultations facilitated by Amanda Katili Niode.

**Final Outcome:** In its conclusions (FCCC/SBI/2013/L.18/Rev.1), the SBI agrees to continue consideration of this issue at SBSTA 40, with a view to the adoption of a decision at COP 20.

#### **RESPONSE MEASURES: Forum and work programme:**

This issue (FCCC/SB/2013/INF.2-4, FCCC/SB/2013/INF.8-12 and FCCC/SB/2013/MISC.2 and 4) was first taken up by the SBI and SBSTA on 11 November. It was subsequently considered in a contact group facilitated by SBSTA Vice-Chair Narcis Paulin Jeler (Romania), and consulted upon informally by SBI Chair Chruszczow and SBSTA Chair Muyungi. The issue proved controversial and, on 18 November, was forwarded to the COP President who consulted with Diann Black Lane (Antigua and Barbuda) on the next steps. Following intense consultations, President Korolec proposed a draft decision for adoption by

the COP (FCCC/CP/2013/L.14). At the developing countries' request, this issue was left for further consideration by SB 40.

The forum on response measures in-forum workshop on cooperation on response strategies, co-facilitated by SBSTA Chair Muyungi and SBI Chair Chruszczow, took place on Tuesday, 12 November. For more details, see <http://www.iisd.ca/vol12/enb12585e.html>.

The COP took note of the conclusions on 22 November.

**Final Outcome:** In their joint conclusions (FCCC/SB/2013/L.4), the SBI and SBSTA note with appreciation the meeting of the forum on the impact of the implementation of response measures, and the presentations and exchanges made during the in-forum workshops on areas: (b) (cooperation on response strategies) held during COP 19; (c) (assessment and analysis of impacts of response measures); (d) (exchanging experience and discussion of opportunities for economic diversification and transformation); and (g) (just transition of the workforce, and the creation of decent work and quality jobs), as well as the in-forum expert meeting on area (e) of the work programme (economic modeling and socio-economic trends). They also: request their Chairs to prepare the report on the in-forum workshop on area (b) before SB 40. SB 39 decides to submit the proposals by the EU, the G-77/China, and the US contained in the annex for consideration by COP 19. The issue will be further considered by SB 40.

**Protocol Article 3.14:** This issue was taken up jointly with the SBSTA agenda item on Protocol Article 2.3. It was first briefly addressed in plenary on 11 November, and subsequently taken up in informal consultations facilitated by SBI Chair Chruszczow and SBSTA Chair Muyungi. Substantive discussions were taken up under sub-item 15(a) (forum and work programme).

**Final Outcome:** In their closing plenaries, the SBI, on 17 November, and SBSTA agreed to continue consultations on how to take up this issue at SBI 40 and SBSTA 40.

**Implementation of Decision 1/CP.10:** This issue was taken up by the SBI plenary on 11 November. Substantive discussions were taken up under sub-item 15(a) (forum and work programme).

**Final Outcome:** In its closing plenary on Sunday, 17 November, the SBI agreed to continue consultations on how to take up this issue at SBI 40.

**2013-2015 REVIEW:** This issue was considered jointly in plenary by the SBI and SBSTA (FCCC/SB/2013/INF.12) on 11 November, and subsequently in a contact group co-chaired by Gertraude Wollansky (Austria) and Leon Charles (Vanuatu). The SBI and SBSTA adopted conclusions.

**Final Outcome:** In their conclusions (FCCC/SB/2013/L.1), the SBI and SBSTA, *inter alia*: take note of report by the structured expert dialogue (SED); note the contributions made by the IPCC and others, and agree to consider AR5 reports; request meetings of the SED in conjunction with SB 40 and 41; and invite views from parties on how the Review will inform the work of the ADP.

#### **ANNEX I PARTIES WHOSE SPECIAL CIRCUMSTANCES ARE RECOGNIZED BY THE COP:**

This item (FCCC/TP/2013/3) was first taken up by the SBI on 11 November. On 16 November, SBI adopted conclusions.

**Final Outcome:** In its conclusions (FCCC/SBI/2013/L.17), the SBI decides to continue its consideration of this matter at SBI 40.

#### ADMINISTRATIVE, FINANCIAL AND

**INSTITUTIONAL MATTERS: Budget performance for the biennium 2012-2013:** This issue (FCCC/SBI/2013/14, INF.4 and INF.15) was referred to the SBI by the COP and CMP, and taken up by the SBI on 11 November. It was decided that the SBI Chair would prepare draft conclusions. In the SBI plenary on 17 November, SBI Chair Chruszczow informed that during the consultations, the G-77/China had suggested inserting a paragraph making reference to the COP decision on the programme budget for the biennium 2014-15. The US said the proposed paragraph by the G-77/China would prejudge the outcome of a decision yet to be reached. In the SBI closing plenary, SBI Chair Chruszczow informed that parties were unable to reach consensus, and the SBI adopted conclusions including a draft COP/CMP decision (FCCC/SBI/2013/L.20).

The COP adopted the decision in its closing plenary on Friday, 22 November. In the COP plenary on Saturday, 23 November, Executive Secretary Christiana Figueres notified of an adjusted policy on developing country participation, namely that representatives from developing countries designated by their regional groups to participate in meetings of bodies under the Convention, and elected, will be eligible for funding under the Trust Fund, the UNFCCC core budget, and the Trust Fund for Supplementary Activities. The CMP adopted the decision in its closing plenary on Saturday, 23 November.

**Final Outcome:** In their decision (FCCC/SBI/2013/L.20), the COP and CMP: take note of the information contained in the documents provided; express appreciation to parties that made contributions to the core budget, and contributions received to the Trust Fund for Participation in the UNFCCC Process and to the Trust Fund for Supplementary Activities, and call upon parties that have not made contributions to do so; and reiterates its appreciation to the Government of Germany for its contributions.

**Programme budget for the biennium 2014-2015:** This issue (FCCC/SBI/2013/6 & Corr.1 & Add. 1, 2 and 3) was referred to the SBI by the COP and CMP, and first taken up by the SBI on Monday, 11 November, and subsequently in a contact group chaired by SBI Vice-Chair Robert van Lierop (St. Kitts and Nevis), and bilateral consultations. In its closing plenary on Sunday, 17 November, the SBI agreed to recommend that COP 19 and CMP 9 further consider this matter and forward the draft decision as an annex to the SBI conclusions (FCCC/SBI/2013/L.22). Many developed countries stressed that the draft decision did not reflect the full range of proposals. In the COP/CMP informal stocktaking plenary on Wednesday, 20 November, COP President Korolec reported that consultations had not yielded results and that Tosi Mpanu Mpanu (Democratic Republic of the Congo) and van Lierop would undertake further consultations. In the COP and CMP plenaries on Saturday, 23 November, the COP and the CMP adopted the decisions.

**Final Outcome:** In its decision (FCCC/CP/2013/L.7), the COP, *inter alia*:

- approves the programme budget for the biennium 2014-15;

- notes that the approved programme budget includes additional provisions for undertaking activities to enhance the implementation of existing and new mandates;
- emphasizes the need to further save costs by using Bonn as the principal venue for meetings;
- urges parties to make voluntary contributions; and
- requests the Executive Secretary to report to COP 20 on income and budget performance.

In its decision (FCCC/KP/CMP/2013/L.9), the CMP, *inter alia*:

- endorses the COP 19 decision (FCCC/CP/2013/L.7) on the programme budget for 2014-15;
- takes note of the financing requirements for the CDM and JI proposed by the CDM Executive Board and JI Supervisory Committee; and
- approves the budget for the international transaction log for 2014-15.

**Privileges and immunities for individuals serving on constituted bodies established under the Kyoto Protocol:** This issue was taken up by the SBI in plenary on 11 November, and delegates decided to defer it to SB 40.

#### OTHER MATTERS: Expert Review Process under Article 8 of the Protocol for the First Commitment Period:

The issue was taken up by the SBI on 11 November, and subsequently in a contact group facilitated by Gerhard Loibl (Austria) and Thelma Krug (Brazil). In plenary on 17 November, the G-77/China stressed the information is relevant for the ADP negotiations, calling for a date for the completion of the review. The EU, supported by the Russian Federation, Australia and others, described this as a technical matter and said information will be available by mid-2014. SBI Chair Chruszczow noted that he will report to the COP President and ask him to decide whether to further consult parties on this issue. The SBI adopted conclusions, including an annex containing a draft CMP decision.

**Final Outcome:** In its conclusions (FCCC/SBI/2013/L.13), the SBI agrees to continue its consideration of the issue at SBI 40, with a view to preparing a draft decision for consideration and adoption at CMP 10, taking into account draft text contained in the annex to the conclusions.

**Gender and Climate Change:** This item (FCCC/KP/2013/4 and MISC.2) was taken up by the SBI on 11 November, and subsequently in a contact group and bilateral consultations facilitated by Lilian Portillo (Paraguay) and Georg Borsting (Norway). The SBI adopted conclusions (FCCC/SBI/2013/L.16), which contain an annex with proposals by parties on ways to enhance gender balance in the UNFCCC process.

**Final Outcome:** In its conclusions (FCCC/SBI/2013/L.16), the SBI, *inter alia*:

- agrees to consider ways that gender balance, gender-sensitive climate policy and the effective participation of women in the work of bodies under the Convention and the Kyoto Protocol could be strengthened;
- agrees to continue to work under this agenda item at SBI 41;
- encourages parties that are eligible for funding from the Trust Fund for Participation in the UNFCCC Process to nominate delegates of both genders for such funding;

- encourages international and regional organizations to further develop additional tools, knowledge, research and strategies for implementing gender-sensitive and responsive climate policy at the international, regional and country-driven approach at the national level; and
- encourages international and regional organizations, when conducting capacity-building activities, to consider gender balance and encourage the participation of female delegates who are participating in the UNFCCC process.

**Article 6 of the Convention:** This issue (FCCC/SBI/2013/13) was taken up briefly by the SBI on 11 November. Interested parties consulted informally, and it was agreed the SBI Chair would draft conclusions on the report. In its closing plenary on 17 November, the SBI adopted conclusions. On 22 November, the COP took note of the conclusions.

**Final Outcome:** In its conclusions (FCCC/SBI/2013/L.21), the SBI, *inter alia*:

- welcomes progress made in implementation of the article through the adoption of the Doha work programme and establishment of the Dialogue on Article 6 of the Convention;
- recalls COP 18 Decision 15 (on gender);
- invites other intergovernmental organizations to enhance their efforts to support parties and stakeholders in implementing the Doha work programme;
- concludes that the second dialogue will be convened during SBI 40, which will also consider subsequent meetings;
- recalls the request contained in COP 18 Decision 15 for parties to report on activities and policies implementing Article 6 in their national communications and other reports; and
- requests the Secretariat to prepare summary reports of the Dialogue, and a report on good practices of stakeholder participation in implementing Article 6.

**CLOSING PLENARY:** Parties delivered their closing statements on Saturday, 16 November. For more details, see <http://www.iisd.ca/vol12/enb12589e.html>. SBI 39 adopted its report on Monday, 18 November (FCCC/SBI/2013/L.1). Chair Chruszczow closed the meeting at 12:19 pm.

### SUBSIDIARY BODY FOR SCIENTIFIC AND TECHNOLOGICAL ADVICE

SBSTA 37 opened on Monday, 11 November, with Richard Muyungi (Tanzania) as Chair. The SBSTA plenary adopted conclusions on Sunday, 17 November. This section summarizes COP/CMP negotiations and outcomes on issues referred to the SBSTA.

**ORGANIZATIONAL MATTERS:** On the agenda (FCCC/SBSTA/2013/4), SBSTA Chair Muyungi proposed including a new sub-item on clarification of the text in section G, Article 3.7 *ter* of the Doha Amendment under the item on methodological issues under the Protocol. Parties agreed, adopting the agenda and agreeing to the organization of work. The SBSTA also agreed that parties submit their opening statements to the Secretariat for posting online.

**NAIROBI WORK PROGRAMME:** This item (FCCC/SBSTA/2013/INF.6 and FCCC/TP/2013/11) was first considered by the SBSTA on 11 November, and subsequently in informal consultations, co-facilitated by Don Lemmen (Canada) and Juan

Hoffmaister (Bolivia). In plenary on 16 November, the SBSTA adopted conclusions and a draft COP decision. The COP adopted the decision on 22 November.

**Final Outcome:** In its conclusions (FCCC/SBSTA/2013/L.34) the SBSTA:

- welcomes submissions from parties and relevant organizations on ways to enhance the relevance of, and support the objective of, the Nairobi Work Programme (NWP); and
- recalls its request for the Secretariat to organize a technical expert meeting on best practices and available tools for the use of indigenous and traditional knowledge and practices for adaptation, and the application of gender-sensitive approaches and tools for understanding and assessing impacts, vulnerability and adaptation to climate change, to be carried out in conjunction with the Adaptation Committee's workshop on best practices and needs of local and indigenous communities;
- invites parties and NWP partner organizations to submit to the Secretariat by 20 August 2014, information on good practices in, and lessons learned from, national adaptation planning; and
- requests the Secretariat to compile these submissions for SBSTA 41.

In its decision (FCCC/SBSTA/2013/L.34/Add.1), the COP *inter alia*:

- decides to continue the NWP, addressing the knowledge needs arising from, *inter alia*, the Cancun Adaptation Framework and other relevant workstreams and bodies under the Convention and the knowledge needs identified by parties;
- decides that the relevance of the NWP should be enhanced on the basis of, *inter alia*: activities that build upon each other and are linked to issues that are practical and engage adaptation practitioners; development of linkages with other relevant workstreams, including the NAPs process, research and systematic observation, and with bodies under the Conventions, including the Adaptation Committee, the LEG and the Technology Mechanism; development of knowledge products to improve the understanding and assessment of impacts, vulnerability and adaptation in response to needs identified by parties; and support for the effective dissemination of knowledge products at all levels through, *inter alia*, knowledge networks and national focal points, particularly in developing countries;
- recognizes that the effectiveness of the modalities of the NWP should be enhanced, including through: the improvement of the relevance and dissemination of knowledge products; improved approaches to engage and collaborate with NWP partner organizations, adaptation practitioners and experts, including regional centers and networks; and further development of the NWP Focal Point Forum;
- requests SBSTA to consider ways to enhance the effectiveness of these modalities at SBSTA 40;
- requests SBSTA to consider, *inter alia*, ecosystems, human settlements, water resources and health;
- requests SBSTA 41 to discuss issues under the NWP;
- decides that activities under the NWP should integrate gender issues, indigenous and traditional knowledge and the role of and impacts on ecosystems;

- invites the Adaptation Committee, in accordance with its mandate and functions, to provide further recommendations for activities to be undertaken by the NWP; and
- requests the SBSTA: to consider and further elaborate additional activities at SBSTA 40; take stock of progress on the implementation at SBSTA 44; and review the NWP with a view to further improve its relevance and effectiveness at SBSTA 48.

**ADAPTATION COMMITTEE'S REPORT:** These joint SBI/SBSTA discussions are summarized under the SBI agenda item on the Adaptation Committee's report (see page 17).

**METHODOLOGICAL GUIDANCE FOR REDD+:** This issue was first addressed in the SBSTA plenary on 11 November. Chair Muyungi recalled that SBSTA 38 had recommended the adoption of three draft COP decisions (FCCC/SBSTA/2013/L.12/Add.1, 2 & 3) on: the timing and the frequency of presentations of the summary of information on how all safeguards are being addressed and respected; modalities for national forest monitoring systems; and the drivers of deforestation and forest degradation. SBSTA 38 had also prepared elements of two draft COP decisions (FCCC/SBSTA/2013/L.12) on MRV modalities; and guidelines and procedures for the technical assessment of submissions from parties on proposed forest reference emission levels and/or forest reference levels. These issues were further discussed in a contact group co-chaired by Peter Graham (Canada) and Robert Kofi Bamfo (Ghana).

On Saturday, 16 November, the SBSTA adopted conclusions (FCCC/SBSTA/2013/L.33); and two draft COP decisions (FCCC/SBSTA/2013/L.33/Add.1 & Add.2) on MRV modalities; and guidelines and procedures for the technical assessment of submissions from parties on proposed forest reference emission levels and/or forest reference levels.

On 22 November the COP plenary adopted all decisions. The Philippines, supported by Australia, for the Umbrella Group, Bolivia, Brazil, Mexico, for Environmental Integrity Group, and the EU, highlighted: that the reference to "livelihoods" in the decision on the drivers of deforestation should not be interpreted so as to mean that indigenous peoples are the drivers of deforestation and forest degradation; and that when addressing the drivers of deforestation and forest degradation traditional livelihoods of indigenous peoples should not be negatively affected. President Korolec invited delegates to adopt the decision with the understanding suggested by the Philippines and supported by others. He said all decisions on REDD+ adopted at COP 19, including those on finance and institutional arrangements, will be called the "Warsaw REDD+ Framework."

**Final Outcome:** On modalities for national forest monitoring systems (FCCC/SBSTA/2013/L.12/Add.1) the COP, *inter alia*, decides that:

- the development of parties' national forest monitoring systems for the monitoring and reporting of REDD+ activities should take into account the guidance in decision 4/CP.15 and be guided by the most recent IPCC guidance and guidelines; and
- robust national forest monitoring systems should provide data and information that are transparent, consistent over time, and suitable for MRV anthropogenic forest-related emissions by sources and removals by sinks, forest carbon stocks, and

forest carbon stock and forest-area changes resulting from the implementation of REDD+ activities.

On the timing and the frequency of presentations of the summary of information on how safeguards are addressed and respected (FCCC/SBSTA/2013/L.12/Add.2), the COP, *inter alia*, decides that:

- developing country parties should start providing the summary of information in their national communication or communication channel, including via the web platform of the UNFCCC, after the start of the implementation of REDD+ activities; and
- the frequency of subsequent presentations of the summary of information should be consistent with the provisions for submissions of national communications from non-Annex I parties.

On the drivers of deforestation and forest degradation (FCCC/SBSTA/2013/L.12/Add.3), the COP, *inter alia*, encourages parties, organizations and the private sector to take action to reduce the drivers of deforestation and forest degradation, and to continue their work to address the drivers of deforestation and forest degradation and share the results of their work.

On MRV modalities (FCCC/SBSTA/2013/L.33/Add.2), the COP, *inter alia*, decides that:

- MRV is to be consistent with guidance provided in decision 4/CP.15;
- the data and information used by parties in the estimation of anthropogenic forest-related emissions should be transparent, and consistent over time and with the established forest reference emission levels and/or forest reference levels; and
- data and information should be provided through the biennial update reports by parties.

On forest reference emission levels and/or forest reference levels (FCCC/SBSTA/2013/L.33/Add.1), the COP, *inter alia*:

- adopts the guidelines and procedures for the technical assessment of submissions from parties on proposed forest reference emission levels and/or forest reference levels; and
- requests the Secretariat to prepare a synthesis report on the technical assessment process, for consideration by the SBSTA.

**COORDINATION OF SUPPORT FOR THE IMPLEMENTATION OF ACTIVITIES IN RELATION TO MITIGATION ACTIONS IN THE FOREST SECTOR BY DEVELOPING COUNTRIES:** These joint SBI/SBSTA discussions are summarized under the SBI agenda item on coordination of support for the implementation of activities in relation to mitigation actions in the forest sector by developing countries (see page 16).

**TECHNOLOGY TRANSFER AND TECHNOLOGY MECHANISM: Joint annual report of the TEC and CTCN:** These joint SBI/SBSTA discussions are summarized under the SBI agenda item on the joint annual report of the TEC and CTCN (see page 19).

**Modalities and procedures of the CTCN and its Advisory Board:** These joint SBI/SBSTA discussions are summarized under the SBI agenda item on the modalities and procedures of the CTCN and its Advisory Board (see page 19).



**Third synthesis report on technology needs identified by Parties not included in Annex I to the Convention:** This item (FCCC/SBSTA/2013/INF.7) was first taken up by the SBSTA on 11 November. A contact group, held with the SBI, co-chaired by Majid Al Suwaidi (United Arab Emirates) and Stig Svenningsen (Norway), considered this item throughout the week. On 16 November, the SBSTA adopted its conclusions.

**Final Outcome:** In its final conclusions (FCCC/SBSTA/2013/L.27), the SBSTA welcomes the information provided in the third synthesis report on technology needs identified by non-Annex I parties and agrees to continue its consideration of the report at SBSTA 40.

**RESEARCH AND SYSTEMATIC OBSERVATION:** This agenda item was addressed in plenary on 11 November.

**Final Outcome:** In its conclusions (FCCC/SBSTA/2013/L.25) the SBSTA:

- notes the statements delivered by the representatives of the IPCC, the World Meteorological Organization (WMO) and the Global Climate Observing System (GCOS), and the WMO information on the developments regarding the implementation of the Global Framework for Climate Services (GFCOS) and the first session of the Intergovernmental Board on Climate Services (IBCS);
- invites WMO to provide, at SBSTA 41, information on the second session of the IBCS;
- notes the information by GCOS on its recent and planned activities and the role of GCOS;
- emphasizes the continued need to secure funding to meet the needs for global climate observations under the Convention on a long-term basis;
- welcomes the contribution of Working Group (WG) I to the IPCC's Fifth Assessment Report (AR5) and noted the future release of the contributions of WG II and III to the AR5, and the AR5;
- emphasizes the importance of systematic observation for the UNFCCC process, including for decision making on adaptation;
- notes that there are still gaps in critical observational data, and urges parties and relevant organizations to enhance capacity, collaboration and coordination in this area; and
- notes that a workshop on systematic observation, organized in collaboration with GCOS and its sponsors, could help to identify ways to strengthen systematic observation.

**RESPONSE MEASURES: Forum and work programme:** These joint SBI/SBSTA discussions are summarized under the SBI item on forum and work programme (see page 20).

**Protocol Article 2.3:** These joint SBI/SBSTA discussions are summarized under the SBI agenda item on Protocol Article 3.14 (see page 20).

**ISSUES RELATED TO AGRICULTURE:** This issue (FCCC/SBSTA/2013/MISC.17, Add.1 and 2) was first discussed on 11 and 13 November in plenary. A workshop on the current state of scientific knowledge on how to enhance the adaptation of agriculture to climate change impacts was held on 12 November, co-facilitated by Hans Åke Nilsagård (Sweden) and Selam Kidane Abebe (Ethiopia). For more details, see <http://www.iisd.ca/vol12/enb12585e.html>.

During the SBSTA opening plenary, SBSTA Chair Muyungi proposed establishing a contact group. Several developing countries opposed this, explaining that parties only agreed to hold a workshop while several developed country parties supported a contact group. On Wednesday, 13 November, Chair Muyungi reported that his informal consultations on whether or not to convene a contact group yielded agreement to consider at SBSTA 40 the Secretariat's report on the workshop, as well as submissions by parties and observer organizations, and not to convene a contact group. The SBSTA agreed to these conclusions.

On 16 November, the SBSTA adopted conclusions. A group of developed countries expressed concern over the lack of discussions on agriculture and with the way the conclusions were adopted. They called for SBSTA 40 to build on areas of commonality. Other developed countries also expressed regret that no contact group was established and the submissions were not considered at SBSTA 39. Many developing countries supported the way the conclusions were adopted, noting the procedures were correctly applied, and emphasized the role of agriculture in adaptation.

**Final Outcome:** In its conclusions (FCCC/SBSTA/2013/L.35) the SBSTA acknowledges parties exchange of views during the in-session workshop and agrees to consider at SBSTA 40 the report of the in-session workshop and the views submitted by parties and observer organizations.

**METHODOLOGICAL ISSUES UNDER THE CONVENTION: Work programme on the revision of guidelines for the review of biennial reports and national communications, including inventory reviews, for developed countries:** This issue (FCCC/SBSTA/2013/INF.5 and FCCC/SBSTA/2013/INF.14) was first addressed on 11 November, where Chair Muyungi reminded delegates of progress made at SBSTA 38 and established a contact group co-chaired by Rittaa Pipatti (Finland) and Qiang Liu (China). Delegates completed the revision of the review guidelines for biennial reports and national communications, and agreed to complete the work on the revision of the review guidelines for GHG inventories by COP 20. This work programme will continue in 2014. The SBSTA adopted conclusions and a draft COP decision. On 22 November, the COP plenary adopted the decision.

**Final Outcome:** In its conclusions (FCCC/SBSTA/2013/L.32) the SBSTA, *inter alia*:

- invites parties to submit by 19 February 2014, detailed views on the structure, outline, key elements, including the purpose and scope of the review, timing and reporting, and content of the review guidelines for GHG inventories for Annex I parties;
- requests the Secretariat to prepare, by 26 March 2014, a synthesis report on those views and a draft of the revised review guidelines for GHGs as inputs for the second technical workshop to be held in April 2014;
- agrees that parties should take into account the need to have a cost-effective, efficient and practical review process that does not impose an excessive burden on parties, experts or the Secretariat;
- agrees that the work programme should be adjusted; and

- requests the Secretariat to organize an additional technical workshop in the second half of 2014.

In its decision (FCCC/SBSTA/2013/L.32/Add.1), the COP:

- adopts guidelines for the technical review of information reported under the Convention related to GHG inventories, biennial reports and national communications by Annex I parties; and
- decides to use the guidelines for the review of the first biennial reports and of the sixth national communications starting in 2014.

**General guidelines for domestic MRV of domestically supported NAMAs by developing countries:** This issue was first addressed on 11 November, and subsequently in a contact group co-chaired by Sarah Kuen (Belgium) and Qiang Liu (China). The SBSTA adopted conclusions and a draft COP decision. On 22 November, the COP adopted the decision.

**Final Outcome:** In its decision (FCCC/SBSTA/2013/L.28), the COP:

- adopts the general guidelines for domestic MRV of domestically supported NAMAs by developing countries;
- invites developing country parties to use the guidelines on a voluntary basis; and
- encourages developed country parties to support interested developing country parties.

**Revision of UNFCCC reporting guidelines on Annex I annual inventories:** This issue was first addressed on 11 November, and subsequently in a contact group co-chaired by Rittaa Pipatti (Finland) and George Wamukoya (Swaziland). The SBSTA adopted conclusions and a draft COP decision. On, 22 November, the COP adopted the decision.

**Final Outcome:** In its conclusions (FCCC/SBSTA/2013/L.29) the SBSTA, *inter alia*:

- welcomes the timely completion of the work of the IPCC on the supplementary guidance on wetlands, and takes note of views submitted by parties on how to reflect the guidance;
  - agrees that Annex I parties need more time to consider the full scope of the guidance and to continue discussions at SBSTA 46 to further explore the use of the guidance, and invites parties to submit to the Secretariat, by March 2017, information on their experience in the use of the guidance; and
  - agrees to further discuss the reporting of carbon dioxide emissions/removals relating to harvested wood products, and to continue such discussions at SBSTA 46.
- In its decision (FCCC/SBSTA/2013/L.29/Add.1), the COP:
- adopts revised guidelines for the preparation of national communications by Annex I parties, Part I, including: UNFCCC reporting guidelines on annual GHG inventories; revised common reporting format tables; and global warming potential values;
  - decides that the guidelines have to be used for the preparation of Annex I parties' inventories beginning in 2015, provided the Secretariat makes the CRF Reporter available by June 2014; and
  - encourages Annex I parties to use the IPCC 2013 Supplement to the 2006 IPCC Guidelines for National GHG Inventories: Wetlands.

**GHG data interface:** This item was first considered on 11 November and taken up in informal consultations, facilitated by Diana Harutyunyan (Armenia) throughout the week. On 16 November, the SBSTA adopted conclusions.

**Final Outcome:** In its conclusions (FCCC/SBSTA/2013/L.23) the SBSTA: recalls its request to the Secretariat at SBSTA 38 to implement any technical changes to the interface should the revised "Guidelines for the preparation of national communications by Parties included in Annex I to the Convention, Part I: UNFCCC reporting guidelines on annual greenhouse gas inventories" be adopted at COP 19; and agreed to consider matters relating to the further development of the interface at SBSTA 43.

**Annual report on the technical review of GHG inventories from Annex I Parties:** This issue (FCCC/SBSTA/2013/INF.8) was first addressed in on 11 November. The SBSTA took note of the report.

**Bunker fuels:** The issue was taken up briefly in plenary on 11 November, with the International Civil Aviation Organization (ICAO) and the International Maritime Organization (IMO) reporting on relevant work (FCCC/SBSTA/2013/MISC.20). Cuba, on behalf of a number of developing countries, said measures taken to combat climate change, including unilateral ones, should not constitute a means of arbitrary or unjustifiable discrimination or a disguised restriction on international trade. China welcomed ICAO's "reaffirmation" of CBDR and stated that IMO recognizes the principles of the UNFCCC, including CBDR. The Republic of Korea expressed concern over unilateral approaches to aviation and stated that emissions from shipping should be considered under the IMO.

Japan underlined that the principle of non-discrimination in the Chicago Convention on International Civil Aviation conflicts with CBDR, and said the former should guide the aviation sector. She said CBDR is not appropriate for the shipping industry because of the complex registration of vessels. Singapore, supported by Panama, called ICAO and IMO the "most competent" bodies to address emissions in their respective sectors.

**Final Outcome:** In its conclusions (FCCC/SBSTA/2013/L.22) the SBSTA takes note of the report, notes views expressed by parties on this information, and invites the ICAO and IMO Secretariats to continue to report at future SBSTA sessions.

**METHODOLOGICAL ISSUES UNDER THE PROTOCOL: Implications of the implementation of decisions 2/CMP.7 to 4/CMP.7 and 1/CMP.8:** This issue (FCCC/SBSTA/2013/INF.3, FCCC/SBSTA/2013/INF.15 and FCCC/TP/2013/9) was first addressed on 11 November, and subsequently in a contact group co-chaired by Nagmeldin Elhassan (Sudan) and Anke Herold (Germany). The SBSTA was not able to conclude its work on this issue and agreed to invite the CMP to consider a draft text containing elements of a draft decision (FCCC/SBSTA/2013/L.31). For the final outcome and discussion on this item, please see the CMP section on Clarification of the text in section G (Article 3 Paragraph 7 *ter*) of the Doha Amendment to the Kyoto Protocol (see page 9).



**LULUCF under Protocol Articles 3.3 and 3.4, and under the CDM:** The issue (FCCC/SBSTA/2013/MISC.18 and 19) was briefly taken up by the SBSTA in plenary on 11 November, and in informal consultations co-chaired by Marcelo Rocha (Brazil) and Lucia Perugini (Italy). On Sunday, 17 November, the SBSTA adopted conclusions.

**Final Outcome:** In its conclusions (FCCC/SBSTA/2013/L.26) the SBSTA, *inter alia*: takes note of the views submitted by parties and observer organizations (FCCC/SBSTA/2013/MISC.18 & 19); agrees to continue in SBSTA 40 consideration of modalities and procedures for possible additional LULUCF activities under the CDM; requests the Secretariat to prepare a technical paper and organize a workshop; and agrees to continue, at SBSTA 40, consideration of issues under the work programmes on more comprehensive accounting and additionality.

**HCFC-22 and HFC-23:** The SBSTA first took up this issue on 11 November in plenary, and subsequently in informal consultations facilitated by Jeffery Spooner (Jamaica) and Ulrika Raab (Sweden). In plenary on 16 November, the SBSTA adopted conclusions and a draft CMP decision. On Friday, 22 November, the CMP adopted the decision.

**Final Outcomes:** In the conclusions (FCCC/SBSTA/2013/L.24), the SBSTA concludes its consideration of these issues.

In its decision (FCCC/SBSTA/2013/L.24/Add.1), the CMP:

- recognizes the work of the SBSTA, the information collected through submissions by parties and document FCCC/TP/2011/2;
- notes that the SBSTA has deliberated on the implications of the establishment of new hydrochlorofluorocarbon-22 (HCFC-22) facilities seeking to obtain CERs for the destruction of hydrofluorocarbon-23 (HFC-23) and the means to address such implications; and
- completes its consideration of this agenda item.

#### **ANNUAL REPORT ON TECHNICAL REVIEW OF ANNEX I GHG INVENTORIES AND OTHER INFORMATION UNDER PROTOCOL ARTICLE 7.1:**

**Clarification of text in section G, Protocol Article 3.7 *ter* of the Doha Amendment to the Protocol:** Discussions under this item are summarized under CMP agenda item on clarification of the text in section G, Protocol Article 3.7 *ter* of the Doha Amendment to the Kyoto Protocol (see page 9).

#### **MARKET AND NON-MARKET MECHANISMS UNDER THE CONVENTION: Framework for various approaches:**

This item (FCCC/SBSTA/2013/INF.11 & FCCC/TP/2013/5) was considered on Monday, 11 November. SBSTA agreed to continue consideration of this issue at SBSTA 40.

**Non-market-based approaches:** This item (FCCC/SBSTA/2013/INF.12) was considered on Monday, 11 November. SBSTA agreed to continue consideration of this issue at SBSTA 40.

**New market-based mechanism:** This item (FCCC/SBSTA/2013/INF.13 & FCCC/TP/2013/6) was considered on Monday, 11 November. SBSTA agreed to continue consideration of this issue at SBSTA 40.

**2013-2015 REVIEW:** These joint SBI/SBSTA discussions are summarized under the SBI agenda item on the 2013-2015 Review (see page 20).

#### **WORK PROGRAMME ON CLARIFICATION OF DEVELOPED COUNTRY QUANTIFIED ECONOMY-WIDE EMISSION REDUCTION TARGETS:**

This issue (FCCC/SBSTA/2013/INF.10 and FCCC/TP/2013/7) was first addressed on 11 November, and subsequently in a contact group co-chaired by Karine Hertzberg (Norway) and Brian Matlana (South Africa). SBSTA adopted conclusions that indicate that this work programme will continue in 2014, and a draft COP decision. The COP adopted the decision on 22 November.

**Final Outcome:** In its conclusions (FCCC/SBSTA/2013/L.30) the SBSTA, *inter alia*:

- acknowledges a convergence in the coverage of sectors and gases and use of global warming potential values among developed countries regarding the identification of common elements for measuring progress as per Decision 2/CP.17, paragraph 5, and acknowledges that the identification of common elements will contribute to measuring comparability of efforts among developed countries; and
- agrees to undertake further work in 2014 on identifying common elements, referred to in Decision 2/CP.17, paragraph 5, including under the work programme on clarification of quantified economy-wide emission reduction targets of developed country parties, requesting: in-session expert meetings and technical briefings, and an update on document FCCC/TP/2013/7.

In the addendum to its conclusions (FCCC/SBSTA/2013/L.30/Add.1), the SBSTA: takes note of: a SBSTA event and report on quantified economy-wide emission reduction targets; the technical briefing on LULUCF reporting; and a technical paper on quantified economy-wide emission reduction targets by developed country parties.

**OTHER MATTERS: Brazilian proposal:** This issue was first taken up on Monday, 11 November, and considered in informal consultations facilitated by SBSTA Chair Muyungi.

During the SBSTA's consideration of the Brazilian proposal to address the development by the IPCC of a reference methodology on historical responsibilities to guide domestic consultations for the 2015 agreement, the US, supported by the EU, Australia, Switzerland, Canada, New Zealand, Norway and Israel, opposed consideration of this issue, whereas Venezuela, India, Cuba, China, Bolivia and Saudi Arabia supported it. BASIC welcomed the Brazilian proposal.

During the SBSTA plenary on 13 November, the G-77/China endorsed the Brazilian proposal and requested that it be considered in a contact group. Parties continued to consult informally but were unable to reach consensus. The G-77/China, supported by Venezuela, Bolivia, India, Nicaragua, Argentina, Malaysia and the Philippines, lamented that no strong signal will be sent from Warsaw on objective and science-based information on historical responsibilities. Brazil regretted that the IPCC has not been requested to provide this information.

Switzerland highlighted scientific information that includes not only historical contributions, but capacity, as well as current and future emissions. The EU identified the need for domestic consultations on commitments in the 2015 agreement based on a broad range of indicators, including past, current and future emissions, and different capabilities.

**CLOSING PLENARY:** SBSTA 39 adopted its report (FCCC/SBSTA/2013/L.21) on Sunday, 17 November. Parties made closing statements and asked for them to be made available on the UNFCCC website. Australia, for Japan, Canada, Australia and the US, noted that SBSTA's consideration of the joint annual report of the TEC and CTCN was not completed at this session and should be considered at SBSTA 40. Chair Muyungi thanked delegates and closed the meeting at 2:56 am.

#### JOINT COP/CMP CLOSING PLENARY

The joint COP/CMP closing plenary took place in the evening of Saturday, 23 November. Referring to running a marathon, COP19 President Korolec expressed satisfaction with having reached the finish line with results "one can be proud of."

Australia, for the Umbrella Group, thanked the presidency for conducting a party-driven process leading to agreement among all groups building on Durban and Doha.

India highlighted equity as an absolute and inalienable right that "cannot be equated with, and is far beyond, fairness."

Fiji, for the G-77/China, thanked the COP President for delivering transparency, inclusiveness, solidarity and efficiency, as promised.

Highlighting "good overall progress" in Warsaw, the EU hailed COP 19 as the biggest advance on REDD+ since Cancun, expressing, however, disappointment that outstanding technical questions concerning the second commitment period of the Kyoto Protocol could not be solved.

Expressing satisfaction with the establishment of the Warsaw international mechanism on loss and damage, Nauru, for AOSIS, lamented that a "catastrophic ambition gap" remains, emphasizing the need to raise the level of finance and calling on the world's leading experts to join efforts with the AOSIS workstream 2 plan launched under the ADP in Warsaw.

Thanking the President for "maintaining" transparency and welcoming the establishment of the Warsaw international mechanism on loss and damage, Nepal, for the LDCs, lamented lack of progress on, *inter alia*, LTF and IPRs, and called for an acceleration in negotiations under the ADP.

Swaziland, for the African Group, called on Annex I parties to ratify the Doha Amendment, expressing: disappointment with lack of progress under CMP agenda items 5, 7 and 8, and failure to improve the CDM; and concern over proposal to include the CDM in a new market mechanism.

Expressing satisfaction with the establishment of the Warsaw international mechanism on loss and damage, Panama, for the Central American Integration System (SICA), called for: strengthening developed country parties' commitments; bridging the gap and increasing ambitions before 2020; and replenishing the GCF.

Lamenting lack of ambition, Mexico emphasized its national efforts irrespective of an international agreement, and the need to take action "without bargaining with the future of our planet."

Australia informed that its participation in the COP 19 decisions does not indicate acceptance of provisions in paragraph 7 (urging developed countries to maintain and increase public climate finance) in the decision on LTF (FCCC/CP/2013/L.13) and in paragraphs 13-14 (ambitious and timely contributions to enable the operationalization of the GCF, including initial

resource mobilization) in the decision on the report of and guidance to the GCF (FCCC/CP/2013/L.12). Canada clarified it understands paragraph 13 of this same decision refers to a collective contribution by developed countries and that countries may also provide finance through other channels. He expressed commitment to the goal of jointly mobilizing, from a wide variety of finance sources, US\$100 billion annually by 2020.

Environmental NGOs lamented a weak outcome, insufficient to close the emissions gap and lacking clear agreement on the roadmap to the 2015 agreement. YOUNGOs urged applying the principle of intergenerational equity in the 2015 agreement.

#### A BRIEF ANALYSIS OF THE WARSAW CLIMATE CHANGE CONFERENCE

*"We're on a road to nowhere*

*Come on inside"*

- Talking Heads

Last year, Typhoon Bopha ravaged the Philippines during the Doha Climate Change Conference, prompting the Philippines' Naderev Saño to ask "If not us, then who? If not now, then when? If not here, then where?" A year later, the Warsaw Climate Change Conference opened as Supertyphoon Haiyan, the strongest storm to ever make landfall, ravaged the Philippines yet again and Saño chose actions over words, undertaking a voluntary fast, joined by over 200 supporters, until a meaningful outcome was reached in Warsaw. The fast, the supertyphoon, and the many marches and protests, became touchstones of the urgency of climate action, backed by alarms sounded by the scientific community leading up to COP 19.

Heading into Warsaw, the scientific community issued a "clarion call" that climate change is unequivocal and its effects are evident in many parts of the world, including flooding in the Middle East and Europe, and prolonged droughts in the US and Australia. Two months before the COP, IPCC Working Group I concluded that human influence on the climate system is clear and limiting climate change will require substantial and sustained reductions of GHG emissions. The World Meteorological Organization confirmed that 2013 has been among the top ten warmest years on record and that melting ice caps and glaciers, in part, brought global sea level to a new record high.

While these reports outlined the already-evident effects of climate change, others showed how paltry the international response currently is. The UNEP Emissions Gap Report showed an increase in emissions in 2013, noting that the opportunities for reaching the 2°C goal are closing and warning against the costs of inaction.

Against this backdrop of urgency—for ambitious mitigation, earnest adaptation, and resolute efforts on loss and damage—COP 19 convened in Warsaw. In striking contrast to reality on the ground and in the atmosphere, a sense of resolve was notably absent at the Warsaw National Stadium, the venue for the conference. Halfway along the road between Durban and Paris, this brief analysis takes stock of the COP's ability to fulfill expectations, the ADP's progress towards a 2015 agreement and enhancing pre-2020 ambition, and the UNFCCC's ability as a process to respond to the grave challenge posed by the changing climate.

**MODEST EXPECTATIONS FOR A STOP ALONG THE ROAD**

Before the opening of the conference, many expected Warsaw to be a “Finance COP,” or an “Implementation COP.” Yet, by the end of the meeting, those wondering if COP 19 could be a “REDD+ COP” were ultimately proven correct. Parties approved a package of decisions, heralded by many as an overdue success, creating the Warsaw Framework for REDD+ that addresses a series of methodological questions, institutional arrangements and results-based finance. COP 19 also reached relatively timid decisions on some issues, such as long-term finance, and loss and damage.

At COP 19, financial issues proved thorny, ultimately tied to diminishing trust among parties in the climate process. Pledges made in Warsaw, including US\$40 million by the Republic of Korea to the Green Climate Fund (GCF) and US\$72.5 million by seven European governments to the Adaptation Fund, were insufficient to build confidence among developing countries that the 2009 promise of US\$100 billion per year by 2020 would be realized. Developing countries point to the fact that climate finance pledged through multilateral funds decreased by 71% in the last year, and the GCF contains only US\$6.9 million donated by only ten countries. With the GCF in large part still an “empty shell,” many developing countries worried that pledges would not materialize into actual deposits to realize the 2020 goal. Thus far, developed countries have explained that their finance ministers are leery of sending funds to an institution lacking finalized operating procedures. In Warsaw, with the operationalization of the GCF, several developed countries expressed willingness to pledge, yet the pledges did not necessarily raise developing countries’ confidence that the funds will actually materialize.

Another key COP 19 agenda item, loss and damage, was also unable to restore developing countries’ confidence that the UNFCCC process can meet their expectations. Last year in Doha, it was agreed that COP 19 would establish “institutional arrangements, such as an international mechanism,” to address loss and damage in countries that are particularly vulnerable to the adverse effects of climate change, and elaborate its functions and modalities in accordance with the role of the Convention. This issue proved to be one of the most contentious of the conference.

Loss and damage results from slow onset or extreme weather events that cannot be prevented by even the most ambitious mitigation action. Due to the extreme, and sometimes permanent, nature of the damage and losses involved, loss and damage cannot be adequately addressed through adaptation either. For developing countries, particularly members of AOSIS and the African Group, it was therefore crucial that the mechanism’s specific functions and modalities include provision of support and that funding for actions on loss and damage come from a dedicated source separate from adaptation finance. Conversely, developed countries repeatedly emphasized that, as part of the Cancun Adaptation Framework, arrangements on loss and damage should not duplicate or add layers to the existing institutional framework.

In the end, agreement was only reached during the closing plenary, with the G-77/China squeezing in last-minute amendments in a final attempt to distinguish loss and damage from adaptation, even if only in the preamble. Building to a large extent on the Doha decision, the new Warsaw international mechanism provides for enhancing knowledge, action and support for loss and damage, as well as strengthening dialogue among relevant stakeholders. Yet it merely “requests” developed countries to provide developing countries with financial support. Provisions on the 2016 review of the mechanism’s structure, mandate and effectiveness came as a last-ditch effort by developing countries to get a better deal; however, with three more years to go before the review could potentially strengthen the mechanism, it could be a case of too little, too late for those already suffering from climate change-related loss and damage.

While parties found minimal agreement on finance and loss and damage, they were unable to achieve consensus on other key issues, including markets, agriculture, response measures, and Articles 5, 7 and 8 (methodological issues under Protocol). A standout among these issues was work related to non-market-based approaches, the new market mechanism and the framework for various approaches, which seek to elaborate common rules for all mitigation efforts, market and non-market based, to ensure environmental integrity. COP 19 inherited the politically difficult issues of markets from the *Ad Hoc* Working Group on Long-term Cooperative Action. Developed countries point to the need for a variety of tools, such as market mechanisms, to “stretch” their ambition. Developing countries, however, have a fundamentally different view, pointing to sputtering carbon markets and low prices for carbon credits as proof of the need for greater mitigation ambition. Despite the COP President’s attempt to intercede during the second week and find a way forward on the issue, parties could not reach agreement, finally forwarding this highly political issue to its technical body to address next year.

Amid what many called “mixed” or “disappointing” results, REDD+ stood out as perhaps a singular achievement. After eight years of negotiations, and extra time allotted to negotiate technical REDD+ issues in June, parties finally completed a package agreement. Still, institutional arrangements and finance proved difficult. Both institutional and financial issues had to contend with the myriad of REDD+ initiatives and projects currently underway outside the UNFCCC process. While negotiators worked for years to secure common MRV guidance and financial arrangements, a multitude of bilateral and multilateral, public and private initiatives sprung up. Various parties and other stakeholders were already invested with a particular set of arrangements and unwilling to shift midway through their REDD+ process, which weakened the decisions on REDD+ institutional arrangements and finance. The institutional arrangements decision amounts to annual meetings between national focal points and funding agencies. The decision on finance creates yet another REDD+ information hub. It falls short of establishing the market mechanism envisioned by those who brought deforestation back to the UNFCCC agenda in 2005. Instead, it leans toward a fund-based approach, which could, by some estimates, require US\$30 billion annually.



Aside from the relative success of the REDD+ package, COP 19 really did not even meet its modest expectations. For some, solely meeting the bare minimum was a further sign of increasingly diminishing confidence in the process, as issues of trust among parties led to sober reflections on the process itself.

#### **CONDUCTING A PROCEDURAL DIAGNOSTIC: GREASING A SQUEAKING WHEEL**

Since Copenhagen, concerns over transparency and process have cast a shadow over the UNFCCC. The need to rebuild both trust among parties and legitimacy of the process is dire. To some extent, more transparent and inclusive talks in Cancun and the Durban “indabas” did manage to restore a certain degree of confidence. Yet, acrimonious discussions returned again in Warsaw as the fragile feeling of trust dissipated. Developing countries complained of “broken promises” and made desperate calls for implementing agreed commitments on finance, while mutual accusations of backtracking were thrown around. Some controversial statements made during a press conference sparked a finger-pointing session between the Like-Minded Developing Countries (LMDCs) and the EU, which some even described as “negotiating through the media.” With trust issues like these, the road to Paris is likely to be a bumpy one.

Procedural trepidations, too, never truly left the process. In Cancun, COP President Patricia Espinosa gaveled through the adoption of the Cancun Agreements despite Bolivia’s opposition, leaving many to ponder the meaning of consensus. Just two years later, COP President Abdullah bin Hamad Al-Attiyah gaveled through the adoption of the Doha Amendment notwithstanding Russia’s raised flag. This caused Russia to demand that decision-making be put on the SBI agenda, which resulted in a procedural impasse last June when the SBI was unable to begin its work for two weeks. Following protracted consultations immediately prior to the Warsaw conference, a new agenda item on decision-making in the UNFCCC was introduced under the COP, and informal open-ended consultations were launched. In these informal consultations, parties considered procedural issues that will shape their future discussions.

Although no formal outcome in the form of a COP decision was reached, the creation of a designated window for procedural discussions is significant. Parties appeared to be on the same wavelength on the timeliness of addressing the decision-making process perceived as flawed by many, and “cleaning house” before Paris. The task seems daunting, however, as numerous issues have been added to a laundry list dominated by an overarching concern over legitimacy of the process.

Anxieties surrounding transparency and inclusiveness versus efficiency and effectiveness; the roles of the COP President, the Secretariat and presiding officers; organization of high-level engagement as well as the process for achieving outcomes—all harking back to Copenhagen—have been haunting the UNFCCC process for years. And although COP President Marcin Korolec was hailed for conducting the process in a transparent and party-driven manner, many developing countries’ delegations were spread too thinly to be able to effectively follow the packed agenda. Late nights, too, continued to compromise transparency, efficiency and inclusiveness, which led some to wonder if all-

night negotiations could be some parties’ tactic, and to question their good faith.

The avoidance of package deals, too, engendered discussions. With the adoption of the rules of procedure nowhere in sight, package deals have, in the past, been the means to reach consensus. Yet, package deals often mean that parties are forced to accept compromises on issues that, if taken on their own, they would not agree to. During the informal stocktaking plenary on Saturday morning, COP President Korolec slipped up to mention “a package,” an eyebrow-raising comment he later retracted after the G-77/China and others sought reassurance that each decision would be considered on its face value. Other parties, however, seemed more comfortable with package-deal language. The outcomes of several COPs leading up to Warsaw have been the result of take-it-or-leave-it, not give-and-take, deals. Warsaw prudently showed caution on that front.

#### **ADP: HALFWAYSTOP ON THE ROAD TO NOWHERE?**

The main expectation for the ADP at COP 19 was to intensify work on the content of the 2015 agreement and on concrete outcomes on pre-2020 ambition, thereby instilling confidence that this process can deliver on both fronts. Despite the best efforts of the Co-Chairs, results were sparse.

The task to “develop a protocol, another legal instrument or an agreed outcome with legal force under the Convention applicable to all parties” by 2015 to enter into force by 2020, agreed in Durban, has become a touchstone of the UNFCCC’s ability to respond to the urgency of climate change. Progress toward a new agreement is one indication of whether the UNFCCC is still relevant and able to take the necessary action to combat climate change.

At the halfway mark to 2015, with just two years to go, parties seem far from delivering on their goal to complete a negotiating text at COP 20 in Lima.

It appears that the 2015 agreement is developing into a purely “bottom-up” arrangement, meaning that states delineate the extent and nature of their contributions. What seems to be lacking is top-down commitments and a pledge-and-review mechanism to assess the patchwork of national contributions to determine if they represent emission reductions substantial enough to stay within the 2°C target. The controversial reference to “intended nationally determined contributions” that would not prejudice their legal nature was introduced as an oral amendment in the final minutes of the ADP closing plenary. The term “contributions,” as opposed to “commitments,” represented a divide between developed countries and some developing countries, particularly the LMDCs. This effectively left fundamental issues, such as the legal nature of the 2015 agreement and the means to differentiate commitments in an agreement “applicable to all,” unresolved.

Differentiation is also side-stepped in the decision. Many developed and several developing countries supported a discussion on how differentiation could be reflected in the 2015 agreement, which, according to the Durban mandate, should be “applicable to all.” However, LMDCs are hesitant to revisit this issue and argue instead for any future agreement to reflect the Annex I/non-Annex I distinction. Developing countries supporting discussions on differentiation, such as AILAC, felt

their voices were drowned out by the rising visibility of the LMDCs as well as the acrimony between the EU and Venezuela, which became a distraction during the final days.

Revising differentiation in the 2015 agreement is a key demand of developed countries. Given fundamental changes in the global economy since 1992, some non-Annex I countries, such as the Republic of Korea, China, Brazil and India, are now economic powerhouses with associated increases in GHG emissions. For a long time, their argument for retaining Annex I/non-Annex I differentiation was rooted in their per capita emissions being much lower than those in developed countries and their right to sustainable development. Today, China, the world's largest emitter in absolute terms, also ranks on par with the EU in per capita terms, prompting those open to differentiation to note the need for the 2015 agreement to look at current and future emissions as those will amount to tomorrow's historical responsibilities.

Furthermore, several developed countries, currently holding the historical responsibilities for atmospheric concentrations of GHGs, have yet to embrace their leadership role, as evidenced by the gap between the slim pledges and implementation of commitments, and the cuts needed to keep global temperature rise below 2°C.

Meanwhile, pre-2020 mitigation ambition has been slow to emerge. Only four countries—Bangladesh, Barbados, Mauritius and the United Arab Emirates—have ratified the Doha Amendment, which needs 144 ratifications to enter into force. China and the EU did announce their intentions to ratify; however, even with all of the EU member states on board, a further 110 ratifications are needed. Thus, until the Doha Amendment enters into force, parties with quantified emissions limitation or reduction commitments (QELRCs), are not legally bound to fulfill them. Furthermore, the second commitment period covers only about 15% of global emissions, which makes it imperative that other countries contribute to the global mitigation effort if the global temperature goal of 2°C is to be achieved. The COP decision on “Further advancing the Durban Platform” contains no targets for 2020, merely urging states that have not communicated their quantified economy-wide emission reduction target, or nationally appropriate mitigation action, to do so. It further urges developed countries “to implement without delay” their quantified economy-wide emission reduction targets under the Convention, and QELRCs for the second commitment period of the Kyoto Protocol, if applicable.

If anything, the Warsaw COP saw pre-2020 mitigation ambition wane. For example, Japan, one of the few Annex I countries without a QELRC for the second commitment period, announced its new GHG emission reduction target during the first week of the COP. It has pledged to reduce its emissions by 3.8% compared to 2005 by 2020, which, if using 1990 as the base year, results in an increase of 3.1%, whereas under the Kyoto Protocol first commitment period, Japan was supposed to reduce its GHG emissions by 6% compared to 1990 levels.

The COP also decided to intensify the technical examination of opportunities with high mitigation potential next year, building on a technical paper briefly considered at COP 19. This, however, is less specific than the AOSIS proposal for a technical

process focused initially on renewable energy and energy efficiency, coupled with submissions and high-level engagement on those issues. The decision offers little to developing countries on the enhancement of pre-2020 ambition on provision of support other than to urge developed countries to increase technology, finance and capacity-building support to enable increased mitigation ambition by developing countries.

Under the ADP, the task of COP 19 was to show progress toward a 2015 agreement and enhancing pre-2020 ambition, and provide confidence that the UNFCCC can deliver on a substantial mandate in a very short time. On both these fronts, results appeared inadequate. In the absence of delineated potential elements of the 2015 agreement, one wonders if at this stage, the ADP is any closer to a 2015 agreement. Progress toward increasing pre-2020 ambition seems stunted despite the growing evidence and calls for urgent action. On the road to Lima, and only two years from the deadline for an agreement in Paris, the Warsaw outcomes provide little reason for high hopes.

### ON THE ROAD TO NOWHERE?

Announcing his voluntary fast, Naderev Saño reminded participants of the many criticisms of the UNFCCC process as a “farce [and] an annual carbon-intensive gathering of useless frequent fliers.” But he also tried to instill hope that the process can fulfill its potential to be “the project to save the planet, saving tomorrow, today.” What he did not characterize, and what is increasingly gaining relevance, are the growing number of initiatives, policies and programmes outside the UNFCCC actively addressing climate change. Often, these are borne out of the frustration of subnational jurisdictions and non-state actors with the lack of progress in the UNFCCC. In some cases, governments eager for progress have turned to other international institutions, such as the Montreal Protocol, or taking unilateral measures. Several hundred civil society representatives, even those usually engaged constructively in the negotiations, walked out of COP 19, demonstrating their deep reservations—also felt by others—on the ability of the UNFCCC to deliver.

The problem, however, may not be only the flawed process, but also the absent political will. Even a preeminent functioning process will fail when facing a lack of political will to move forward and find a solution. The UN Secretary-General's upcoming 2014 UN Climate Summit may be able to inject high-level engagement in the climate change arena lacking since Copenhagen. This engagement may entrench positions, but could also find common ground that is currently elusive, but will be necessary if the UNFCCC is to retain any relevance. Ultimately, the question is if climate change will wait for the UNFCCC. Thus far, the evidence shows the UNFCCC is being left behind.

### UPCOMING MEETINGS

**International Conference on Climate Change, Water and Disaster in Mountainous Areas:** This conference is organized by the Society of Hydrologists and Meteorologists (SOHAM-Nepal). **dates:** 27-29 November 2013 **location:** Kathmandu, Nepal **contact:** Deepak Paudel, SOHAM Nepal **phone:** +977-9841647398 **email:** sohamconference2013@gmail.com **www:** <http://www.soham.org.np/pdf/international-conference.pdf>



**Third Meeting of the Sixth Replenishment of the GEF:**

The Third Meeting of the Sixth Replenishment of the Global Environment Facility (GEF-6) is scheduled to take place in December 2013. Representatives from donor countries, non-donor recipient countries, civil society, GEF agencies, the Trustee, the Scientific and Technical Advisory Panel (STAP), and the Evaluation Office are set to attend. **dates:** 10-12 December 2013 **location:** Paris, France **contact:** GEF Secretariat **phone:** +1-202-473-0508 **fax:** +1-202-522-3240 **email:** secretariat@thegef.org **www:** <http://www.thegef.org/gef/events/third-replenishment-meeting>

**Seventh Session of the UN General Assembly's Open Working Group (OWG) on Sustainable Development Goals:**

OWG-7 is expected to discuss: sustainable cities and human settlements, sustainable transport; sustainable consumption and production (including chemicals and waste); and climate change and disaster risk reduction. **dates:** 6-10 January 2014 **location:** UN Headquarters, New York **contact:** UN Division for Sustainable Development **phone:** +1-212-963-8102 **fax:** +1-212-963-4260 **email:** dsd@un.org **www:** <http://sustainabledevelopment.un.org/index.php?menu=1549>

**GEO (Group on Earth Observations) Ministerial**

**Summit:** The GEO-X Plenary Session and the GEO Geneva Ministerial Summit will take place in Geneva. Membership in GEO is open to all UN member states and to the European Commission. Membership in GEO is contingent upon formal endorsement of the GEOSS 10-Year Implementation Plan, and all members belong to a regional caucus. **dates:** 12-17 January 2014 **location:** Geneva, Switzerland **contact:** GEO Secretariat **phone:** +41-22-730-8505 **fax:** +41-22-730-8520 **email:** secretariat@geosec.org **www:** <http://www.earthobservations.org/>

**Fourth Session of the IRENA Assembly:** The fourth session of the International Renewable Energy Agency (IRENA) Assembly, IRENA's supreme governing body, will immediately precede the World Future Energy Summit (WFES), the International Water Summit (IWS) 2014, and EcoWASTE 2014, which together form Abu Dhabi Sustainability Week (ADSW 2014). **dates:** 18-19 January 2014 **location:** Abu Dhabi, United Arab Emirates **contact:** IRENA Secretariat **phone:** +971-2-417-9000 **email:** secretariat@irena.org **www:** <http://www.irena.org/>

**World Future Energy Summit 2014:** The World Future Energy Summit (WFES) 2014 will offer a number of renewable energy-related events, including a conference, exhibition, "Project and Finance Village," and "Young Future Energy Leaders program." Hosted by Masdar, Abu Dhabi's renewable energy company, the event will be attended by international policy makers, industry experts, investors and media, who will discuss practical and sustainable solutions to future energy challenges. **dates:** 20-22 January 2014 **location:** Abu Dhabi, United Arab Emirates **contact:** Sheila Baranda **phone:** +971-2-409-0302 **email:** sheila.baranda@reedexpo.ae **www:** <http://www.worldfutureenergysummit.com/>

**International Renewable Energy Jobs Conference:** The International Renewable Energy Agency (IRENA) is organizing this event alongside the World Future Energy Summit. The conference will discuss how the renewables sector has become

a significant employer with potential for creating millions more jobs worldwide in the coming years. It will provide an opportunity for experts and policy makers to share knowledge, experience and best practices on renewable energy job creation. It will also look at trends and dynamics in renewable energy job creation and the policy and economic environment needed to maximize potential for job creation. **date:** 21 January 2014 **location:** Abu Dhabi, United Arab Emirates **contact:** IRENA Secretariat **email:** ireValue@irena.org **www:** [http://irevalue.irena.org/event\\_detail.aspx?id=2](http://irevalue.irena.org/event_detail.aspx?id=2)

**5th Biennial C40 Mayors Summit:** The C40 Cities Climate Leadership Group (C40) is hosting this three-day summit to convene mayors from the world's largest cities with hundreds of urban and climate change leaders for a series of roundtable discussions and working sessions focused on greenhouse gas measurements and climate adaptation. Inaugurated in 2005, C40 is a network of cities around the world looking to take concrete actions local actions for climate change adaptation and mitigation. **dates:** 4-6 February 2014 **location:** Johannesburg, South Africa **contact:** Linda Phalatse **phone:** +27-11-587-4251 or +27-83-544-0998 **email:** contact@c40.org **www:** <http://c40summitjohannesburg.org/>

**Sixth Meeting of the Green Climate Fund Board:** The sixth meeting of the Green Climate Fund (GCF) Board of the UN Framework Convention on Climate Change (UNFCCC) will take place in Indonesia. **dates:** 19-21 February 2014 **location:** Indonesia **contact:** Secretariat of the Green Climate Fund **phone:** +49 228 815-1371 **fax:** +49-228-815-0349 **email:** isecretariat@gcfund.net **www:** <http://gcfund.net/>

**Ad Hoc Working Group on the Durban Platform for Enhanced Action:** The ADP will convene for the fourth part of its second session in March 2014. **dates:** 10-14 March 2014 **location:** Bonn, Germany **contact:** UNFCCC Secretariat **phone:** +49-228-815-1000 **fax:** +49-228-815-1999 **email:** secretariat@unfccc.int **www:** <http://unfccc.int>

**Forests Asia Conference: Sustainable Landscapes for Green Growth in ASEAN:** This conference, organized by the Center for International Forestry Research (CIFOR) as part of global celebration on the International Day of Forests, will discuss sustainable forest landscapes within the Association of Southeast Asian Nations' post-2015 sustainable development efforts. The conference will focus on governance, trade and investment in order to manage forests for green returns, climate change mitigation and adaptation, energy and low-carbon development, food security and nutrition. **dates:** 20-21 March 2014 **location:** Jakarta, Indonesia **contact:** Adinda Hasan, Regional Communications Officer, CIFOR **phone:** +62-(0)-811-860-9338 **email:** a.hasan@cgiar.org **www:** <http://www.cifor.org/forestsasia>

**IPCC WGII 10th Session and IPCC-38:** IPCC WGII will meet for approval and acceptance of the WGII contribution to AR5. WGII assesses the vulnerability of socio-economic and natural systems to climate change, negative and positive consequences of climate change, and options for adapting to it. Subsequently, IPCC-38 will convene to endorse the WGII contribution to AR5. **dates:** 25-29 March 2014 **location:**

Yokohama, Japan **contact:** IPCC Secretariat **phone:** +41-22-730-8208 **fax:** +41-22-730-8025 **email:** IPCC-Sec@wmo.int **www:** <http://www.ipcc.ch/>

**IPCC WGIII 12th Session and IPCC-39:** IPCC WGIII will meet for approval and acceptance of the WGIII contribution to AR5. WGIII focuses on mitigation of climate change. Subsequently, IPCC-39 will convene to endorse the WGIII report. **dates:** 7-13 April 2014 **location:** Berlin, Germany **contact:** IPCC Secretariat **phone:** +41-22-730-8208 **fax:** +41-22-730-8025 **email:** IPCC-Sec@wmo.int **www:** <http://www.ipcc.ch/>

### Third International Climate Change Adaptation

**Conference:** The Conference titled "Adaptation Futures 2014" will connect the research community and users of climate change adaptation information at regional and global scales. **dates:** 12-16 May 2014 **location:** Fortaleza, Brazil **contact:** UNEP Secretariat **email:** [adaptationfutures2014@inpe.br](mailto:adaptationfutures2014@inpe.br) **www:** <http://adaptationfutures2014.ccst.inpe.br/>

**46th GEF Council Meeting and GEF Assembly:** The Global Environment Facility (GEF) Assembly will be held back-to-back with the 46th GEF Council meeting in Mexico. The CSO Consultation, GEF Council and LDCF/SCCF Council Meetings will convene from 25-27 May, with the Council meeting beginning on 25 May and overlapping for half a day, on 27 May, with the CSO Consultation. The Assembly will convene from 28-30 May. All 183 member nations, including South Sudan—the GEF's newest member—will gather for the Assembly. **dates:** 25-30 May 2014 **location:** Cancun, Mexico **contact:** GEF Secretariat **phone:** +1-202-473-0508 **fax:** +1-202-522-3240 **email:** [secretariat@thegef.org](mailto:secretariat@thegef.org) **www:** [http://www.thegef.org/gef/5th\\_assembly](http://www.thegef.org/gef/5th_assembly)

**UNFCCC 40th Sessions of the Subsidiary Bodies:** SBI 40 and SBSTA 40 will convene in June 2014. **dates:** 4-15 June 2014 **location:** Bonn, Germany **contact:** UNFCCC Secretariat **phone:** +49-228-815-1000 **fax:** +49-228-815-1999 **email:** [secretariat@unfccc.int](mailto:secretariat@unfccc.int) **www:** <http://unfccc.int>

**2014 Climate Summit:** This event is being organized by UN Secretary-General Ban Ki-moon with the aim to mobilize political will for an ambitious legal agreement through the UNFCCC process. **date:** 23 September 2014 **location:** UN Headquarters, New York, US **www:** <http://www.un.org/climatechange/summit2014/>

**CBD COP 12:** The Convention on Biological Diversity's COP 12 will engage in a mid-term review of the implementation of the Strategic Plan and the Aichi targets. The theme of the meeting will be "Biodiversity for Sustainable Development." The Meeting of the Parties to the Cartagena Protocol on Biosafety will take place immediately before COP 12. **dates:** 6-17 October 2014 **location:** Pyeongchang, Republic of Korea **contact:** CBD Secretariat **phone:** +1-514-288-2220 **fax:** +1-514-288-6588 **email:** [secretariat@cbd.int](mailto:secretariat@cbd.int) **www:** <http://www.cbd.int/meetings/>

**IPCC-40:** This IPCC meeting will be held to adopt the AR5 SYR and approve its SPM. **dates:** 27-31 October 2014 **location:** Copenhagen, Denmark **contact:** IPCC Secretariat **phone:** +41-22-730-8208 **fax:** +41-22-730-8025 **email:** IPCC-Sec@wmo.int **www:** <http://www.ipcc.ch/>

**UNFCCC COP 20 and CMP 10:** The 20th session of the Conference of the Parties (COP 20) to the UNFCCC and the 10th session of the Conference of the Parties serving as the Meeting of the Parties to the Kyoto Protocol will take place in Lima, Peru. **dates:** 1-12 December 2014 **location:** Lima, Peru **contact:** UNFCCC Secretariat **phone:** +49-228-815-1000 **fax:** +49-228-815-1999 **email:** [secretariat@unfccc.int](mailto:secretariat@unfccc.int) **www:** <http://unfccc.int>

For additional meetings and updates, go to <http://climate-1.iisd.org/>

## GLOSSARY

ADP	<i>Ad Hoc</i> Working Group on the Durban Platform for Enhanced Action
AILAC	Association of Independent Latin American and Caribbean States
AOSIS	Alliance of Small Island States
BAP	Bali Action Plan
BASIC	Brazil, South Africa, India and China
CBDR	Common but differentiated responsibilities
CDM	Clean Development Mechanism
CERs	Certified Emission Reductions
CGE	Consultative Group of Experts
CMP	Conference of the Parties serving as the Meeting of the Parties of the Kyoto Protocol
COP	Conference of the Parties
CTC	Climate Technology Centre
CTCN	Climate Technology Centre and Network
GCF	Green Climate Fund
GEF	Global Environment Facility
GHG	Greenhouse gas
IPCC	Intergovernmental Panel on Climate Change
IPRs	Intellectual property rights
JI	Joint Implementation
LDCs	Least Developed Countries
LEG	LDC Expert Group
LMDCs	Like Minded Developing Countries
LTF	Long-Term Finance
LULUCF	Land use, land-use change, and forestry
MRV	Measuring, reporting and verification
NAMAs	Nationally appropriate mitigation actions
NAPs	National adaptation plans
QELRCs	Quantified emissions limitation or reduction commitments
REDD+	Reducing emissions from deforestation and degradation in developing countries, including conservation
SB	Subsidiary Body
SBI	Subsidiary Body for Implementation
SBSTA	Subsidiary Body for Scientific and Technological Advice
SCF	Standing Committee on Finance
TEC	Technology Executive Committee
UNFCCC	United Nations Framework Convention on Climate Change

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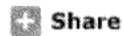
## U.S.-China Climate Change Working Group Fact Sheet

Fact Sheet

Office of the Spokesperson

Washington, DC

July 10, 2013



The United States and China have agreed to five new action initiatives with the goal of reducing greenhouse gas emissions and air pollution by tackling the largest sources of emissions in both countries. These initiatives were developed by the U.S.-China Working Group on Climate Change and presented in a Report agreed to by Leaders' Special Representatives at the Strategic and Economic Dialogue.

The Working Group was established pursuant to the [Joint Statement](#) on Climate Change issued on April 13, 2013 during Secretary Kerry's first trip to China and is intended to spur large-scale, cooperative efforts to address the climate challenge, including deepening and expanding work already underway. The Working Group's Report was prepared mindful of the overwhelming scientific consensus about anthropogenic climate change and its worsening impacts, as well as the urgent need to intensify global efforts to combat climate change. Ambitious domestic and cooperative action by China and the United States is more critical than ever.

Working closely with private sector and non-governmental stakeholders, the Working Group will develop implementation plans for the following initiatives by October 2013:

- Reducing emissions from heavy-duty and other vehicles: Heavy-duty vehicles are the fastest growing source of greenhouse gas emissions from transportation in the United States and account for more than half of transportation fuel consumed in China. Light-duty vehicles also contribute significantly to greenhouse gas emissions, fuel use and air pollution. Efforts under this initiative will include advancing comprehensive policies to reduce CO2 and black carbon emissions through: enhanced heavy-duty fuel efficiency standards; cleaner fuels and vehicle emissions control technologies; and more efficient, clean freight.

- Increasing carbon capture, utilization, and storage (CCUS): Together, the United States and China account for more than 40 percent of global coal consumption. Emissions from coal combustion in the electric power and industrial sectors can be significantly reduced through CCUS. China and the United States will cooperate to overcome barriers to deploying CCUS by implementing several large-scale, integrated CCUS projects in both countries. These demonstrations will engage companies in both countries and allow for enhanced trade and commerce.
- Increasing energy efficiency in buildings, industry, and transport: The United States and China recognize that there is significant scope for reducing emissions and reducing costs through comprehensive efforts to improve energy efficiency. Both sides commit to intensify their efforts, with an initial focus on promoting the energy efficiency of buildings, which account for over 30 percent of energy use in both countries, including through the use of innovative financing models.
- Improving greenhouse gas data collection and management: Both countries place a high priority on comprehensive, accurate reporting of economy-wide greenhouse gas emissions data to track progress in reducing emissions and to develop and implement mitigation policies. The United States will work with China to build capacity for collection and management of greenhouse gas emissions data, a critical foundation for smart climate change policies in both countries.
- Promoting smart grids: The power sector accounts for over one third of U.S. and Chinese carbon emissions. To reduce greenhouse gas emissions from the power sector and put in place a resilient, low-carbon power grid, both countries are developing modern, “smart” grid systems, deploying renewable and clean energy, and improving demand management. The U.S. and China will collaborate on building smart grids that are more resilient, more efficient, and can incorporate more renewable energy and distributed generation.

These initiatives, and others the Working Group will develop, demonstrate the commitment of both countries to combat climate change and complement domestic efforts, including President Obama’s recently announced Climate Action Plan.

#### Enhanced Policy Dialogues

Recognizing the importance of working through the United Nations Framework Convention on Climate Change (UNFCCC), the United States and China are committed to enhancing our policy dialogue on all aspects of the future agreement.

The Working Group will work to implement the agreement on hydrofluorocarbons (HFCs) reached by President Obama and President Xi at their meeting on June 8, 2013, in Sunnylands, California.

The Working Group will also strengthen the bilateral dialogue on domestic climate policy to enhance mutual understanding of and confidence in each others’ measures.

*The full Working Group Report can be found [here](#) on July 11<sup>th</sup> after 5pm.*

PRN: 2013/0860

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**To:** McFarland, James[McFarland.James@epa.gov]  
**From:** Fawcett, Allen  
**Sent:** Mon 11/3/2014 6:54:53 PM  
**Subject:** RE: DOE Post-2020 / GCAM

Yes, Sara is calling in, and maybe someone else from DOE.

---

**From:** McFarland, James  
**Sent:** Monday, November 03, 2014 1:51 PM  
**To:** Fawcett, Allen  
**Subject:** RE: DOE Post-2020 / GCAM

Are Bryan and Elke coming over?

-----Original Appointment-----

**From:** Fawcett, Allen  
**Sent:** Monday, November 03, 2014 1:41 PM  
**To:** Mignone, Bryan; Hodson, Elke (FELLOW); Ohrel, Sara; Ragnauth, Shaun; Alsalam, Jameel; McFarland, James  
**Subject:** DOE Post-2020 / GCAM  
**When:** Monday, November 03, 2014 2:00 PM-3:00 PM (UTC-05:00) Eastern Time (US & Canada).  
**Where:** DCRoomWJCS4228AOAP/DC-OAR-OAP

Call in number: Ex. 6 - Privacy  
Conference code: Ex. 6 - Privacy



**To:** Haewon C McJeon[Haewon.McJeon@pnnl.gov]; Fawcett, Allen[Fawcett.Allen@epa.gov]; Leon Clarke[Leon.Clarke@pnnl.gov]; McFarland, James[McFarland.James@epa.gov]; Iyer, Gokul C[Gokul.Iyer@pnnl.gov]  
**From:** Schuler, Reed M  
**Sent:** Sat 10/25/2014 7:23:45 AM  
**Subject:** Fw: Global Emissions Workbook  
[rhg\\_globalemissionsmodel\\_oct2014.xlsx](#)

Hi everyone,

Is it possible to very briefly review this model to look for significant divergences from our work? Just to be able to: **Ex. 5 - Deliberative**

Thanks!

Reed

From: Trevor Houser <tghouser@rhg.com>  
Sent: Saturday, October 25, 2014 9:21 AM  
To: Sierawski, Clare S; Wagner, David Vance; Schuler, Reed M; Hultman, Nathan; Duke, Rick; Gallagher, Kelly; Bodnar, Paul ( **Ex. 6 - Privacy** )  
Subject: Global Emissions Workbook

All,

We have put together the attached workbook with comprehensive global historical GHG emissions data

# Ex. 5 - Deliberative

Let me know if you have any questions.

Trevor Houser  
Rhodium Group (RHG)  
Tel: +1.212.532.1158  
Fax: +1.212.532.1162  
[www.rhg.com](http://www.rhg.com)

NYC:  
5 Columbus Circle  
New York, NY 10019

CA:  
312 Clay Street  
Oakland, CA 94609

**From:** McFarland, James  
**Importance:** Normal  
**Subject:** Post-2020 edits  
**Start Date/Time:** Mon 5/19/2014 7:00:00 PM  
**End Date/Time:** Mon 5/19/2014 8:30:00 PM

...  
>>>

**From:** Fawcett, Allen  
**Location:** Allen's office  
**Importance:** Normal  
**Subject:** post-2020 CEB discussion  
**Start Date/Time:** Wed 2/5/2014 7:30:00 PM  
**End Date/Time:** Wed 2/5/2014 8:00:00 PM

**To:** Clarke, Leon E[Leon.Clarke@pnnl.gov]; McJeon, Haewon C[Haewon.McJeon@pnnl.gov]; Iyer, Gokul C[Gokul.Iyer@pnnl.gov]; McFarland, James[McFarland.James@epa.gov]; Alsalam, Jameel[Alsalam.Jameel@epa.gov]; Creason, Jared[Creason.Jared@epa.gov]; Jeong, Minji[minji.jeong@pnnl.gov]; Edmonds, James A (Jae)[jae@pnnl.gov]  
**Cc:** Schuler, Reed M[SchulerRM@state.gov]; 'Hultman, Nathan'  
**From:** Fawcett, Allen  
**Sent:** Thur 8/28/2014 8:52:37 PM  
**Subject:** FW: Combined China brief  
[Table 2.2 - 2014-08-27.xlsx](#)  
[China Combined Brief 20140828 - clean.docx](#)  
[China Combined Brief 20140828.docx](#)

Hey Everyone,

We took a first cut through the documents to combine the briefs into a single file, and start incorporating Reed and Vance's comments. There are two files attached, one with track changes and a second clean version. Comment bubbles from both Reed and Vance are ported to this version, and we made as many of the text edits as we could at this stage.

I'm still working on updates to the spreadsheet tool, so I'd like to keep the pen for section 3.2, but I think we can turn the pen over to PNNL for the rest of the document.

The briefing for Todd is now set for 1-2:30 on Wednesday. I think we can shoot for having a finished product ready on Tuesday afternoon, so we can send it over by COB Tuesday. We have a call scheduled for Thursday at noon, it might be useful to move that up and have a quick call Tuesday morning instead. I think it would be helpful for me to go over the updated results with **Ex. 5 - Deliberative** before the presentation on Wednesday.

Cheers,  
Allen

**From:** Alsalam, Jameel  
**Sent:** Thursday, August 28, 2014 2:06 PM  
**To:** Fawcett, Allen  
**Cc:** Creason, Jared  
**Subject:** Combined China brief

Allen,

I have combined the three briefs, changed the numbering to section-based 3-1 etc, merged comments and edits from Reed and Vance, and gone through myself and edited text and addressed issues where I could for concision and clarity. There are a number of comments either suggesting different tables/calculations or content questions such as expressing surprise over one result or another. I know that Leon wanted us to deal with as many issues as possible, but these mostly relate to things they've written, so I hesitate to make content changes based on guesses. Jared made: **Ex. 5 - Deliberative** which is slotted in. The formats are close, but don't match perfectly – for that PNNL would probably have to do it.

Here's for you to take a pass at it.

Best,

Jameel

Jameel Alsalam

Economist, Climate Change Division

U.S. Environmental Protection Agency

voice: (202) 343-9807

fax: (202) 343-2202

[alsalam.jameel@epa.gov](mailto:alsalam.jameel@epa.gov)

**To:** Alsalam, Jameel[Alsalam.Jameel@epa.gov]; Creason, Jared[Creason.Jared@epa.gov]; McFarland, James[McFarland.James@epa.gov]  
**From:** Fawcett, Allen  
**Sent:** Wed 8/27/2014 5:30:15 PM  
**Subject:** Fw: Briefs for Review  
[Comparability Brief 20140824\\_RS.DOCX](#)  
[NDC Brief 20140824\\_RS.DOCX](#)  
[Comparability Brief 20140824\\_dvw.docx](#)  
[Baseline Brief 20140824\\_dvw.docx](#)  
[NDC Brief 20140824\\_dvw.docx](#)



Attached are my edits/comments (first two documents), and also some suggestions from my colleague Vance (which I haven't reviewed)

As I mentioned, I won't be able to join the call (on a flight from Tokyo), but I will follow up with you soon – back in the office Thursday.

Reed

This email is UNCLASSIFIED.

**From:** Clarke, Leon E [mailto:Leon.Clarke@pnnl.gov]  
**Sent:** Tuesday, August 26, 2014 9:01 PM  
**To:** Schuler, Reed M; Allen (Fawcett.Allen@epa.gov) Fawcett (Fawcett.Allen@epa.gov); McJeon, Haewon C; Iyer, Gokul C; 'McFarland, James'; Ex. 6 - Privacy, Nate Loewentheil  
**Subject:** Re: Briefs for Review

Excellent! We will definitely need to be targeted in our prioritization of next steps.

Leon

**From:** <Schuler>, Reed M <SchulerRM@state.gov>

**Date:** Monday, August 25, 2014 11:21 PM

**To:** Leon <Leon.Clarke@pnnl.gov>, Allen Fawcett <fawcett.allen@epa.gov>, "McJeon, Haewon C" <Haewon.McJeon@pnnl.gov>, "Iyer, Gokul C" <Gokul.Iyer@pnnl.gov>, "McFarland, James" <McFarland.James@epa.gov>, **Ex. 6 - Privacy, Nate Loewentheil**

**Subject:** RE: Briefs for Review

Hey all,

There will also be edits coming in from some combination of:

-Me

-Jonathan Pershing

-Trevor Houser

-Trigg Talley

-Christo Artusio

-Vance Wagner

-Clare Sierawski

-Kelly Gallagher

This email is UNCLASSIFIED.



**From:** Clarke, Leon E [<mailto:Leon.Clarke@pnnl.gov>]  
**Sent:** Monday, August 25, 2014 12:27 AM  
**To:** Fawcett, Allen; Schuler, Reed M; Edmonds, James A (Jae); McJeon, Haewon C; Iyer, Gokul C; McFarland, James; Creason, Jared; Alsalam, Jameel; Iyer, Gokul C; Jeong, Minji; Nate Hultman  
**Subject:** Briefs for Review

All,

Attached are the three briefs that we have now produced for the project: Baseline Brief, Comparability Brief, and NDC Brief. Thanks to everyone for working so hard to get these together.

Per our discussion earlier this week, the plan is now to get feedback through Nate over the next two days. We will then meet again on Wednesday at 9:30 to discuss priorities for moving forward and the associated timeline (which will necessarily force some discipline in terms of what we might take on).

As a general overview, I think the briefs have come a long way and are generally trending toward something very good. At the same time, there are a lot of pages of text and figures here and a lot of information, particularly with some new additions

Ex. 5 - Deliberative So I think we will want to try in the next round to work hard to really tighten and solidify what we have.

In addition, there are some items we already know should be on the list of possible actions for the next round. For documentation purposes, I'm noting them here. These include the following:

## Ex. 5 - Deliberative

Anyway, so it is now off to Nate to get some feedback by COB Tuesday, and we will reconvene on Wednesday to discuss priorities.

Leon